



UNITED STATES
CONSUMER PRODUCT SAFETY COMMISSION
4330 EAST WEST HIGHWAY
BETHESDA, MD 20814

This document has been electronically
approved and signed.

DATE: August 12, 2015

BALLOT VOTE SHEET

TO: The Commission
Todd A. Stevenson, Secretary

THROUGH: Stephanie Tsacoumis, General Counsel
Patricia H. Adkins, Executive Director

FROM: Patricia M. Pollitzer, Assistant General Counsel
David M. DiMatteo, Attorney, OGC

SUBJECT: Draft Notice of Proposed Rulemaking to Amend the Safety Standard for
Automatic Residential Garage Door Operators

BALLOT VOTE DUE: August 18, 2015

The Office of the General Counsel is providing for Commission consideration the attached notice of proposed rulemaking ("NPR") to revise the Commission's garage door operators standard, 16 C.F.R. part 1211, to reflect changes Underwriters Laboratories, Inc. ("UL") has made to its standard UL 325, upon which the Commission standard was based. On December 3, 2013, and on June 30, 2015, the Commission voted to accept the relevant revisions to UL 325, Sixth Edition. The Commission also directed staff to prepare and send to the Commission a draft revision of 16 C.F.R. part 1211 that would include the changes UL made to UL 325 in the codified text of the existing rule. In accordance with the Commission's previous votes, the proposed rule would amend the mandatory GDO rule at 16 C.F.R. part 1211, to include the revisions to the entrapment protection requirements of UL 325, already accepted by the Commission.

Please indicate your vote on the following options:

- I. Approve publication of the attached document in the *Federal Register*, as drafted.

(Signature)

(Date)

- II. Approve publication of the attached document in the *Federal Register*, with changes.
(Please specify.)

(Signature)

(Date)

- III. Do not approve publication of the attached document in the *Federal Register*.

(Signature)

(Date)

- IV. Take other action. (Please specify.)

(Signature)

(Date)

Attachment: Draft *Federal Register* Notice: *Safety Standard for Automatic Residential Garage Door Operators*

[Billing Code 6355-01-P]

CONSUMER PRODUCT SAFETY COMMISSION

16 CFR Part 1211

[Docket No. CPSC-]

Safety Standard for Automatic Residential Garage Door Operators

AGENCY: U.S. Consumer Product Safety Commission.

ACTION: Notice of proposed rulemaking.

SUMMARY: The Consumer Product Safety Commission (“Commission” or “CPSC”) is proposing to amend 16 CFR part 1211, *Safety Standard for Automatic Residential Garage Door Operators*, to reflect changes made by Underwriters Laboratories, Inc. (“UL”), in the entrapment protection provisions in UL’s standard UL 325, Sixth Edition, “Standard for Safety for Door, Drapery, Gate, Louver, and Window Operators and Systems.”

DATES: Submit comments by [Insert date 75 days after publication in the *Federal Register*].

ADDRESSES: You may submit comments, identified by Docket No. CPSC- _____, by any of the following methods:

Electronic Submissions: Submit electronic comments to the Federal eRulemaking Portal at: <http://www.regulations.gov>. Follow the instructions for submitting comments. The Commission does not accept comments submitted by electronic mail (e-mail), except through www.regulations.gov. The Commission encourages you to submit electronic comments by using the Federal eRulemaking Portal, as described above.

Written Submissions: Submit written submissions by mail/hand delivery/courier to: Office of the Secretary, Consumer Product Safety Commission, Room 820, 4330 East West Highway, Bethesda, MD 20814; Telephone (301) 504-7923.

Instructions: All submissions received must include the agency name and docket number for this notice. All comments received may be posted without change, including any personal identifiers, contact information, or other personal information provided, to: <http://www.regulations.gov>. Do not submit confidential business information, trade secret information, or other sensitive or protected information that you do not want to be available to the public. If furnished at all, such information should be submitted in writing.

Docket: For access to the docket to read background documents or comments received, go to: <http://www.regulations.gov>, and insert the docket number CPSC-_____, into the “Search” box, and follow the prompts.

FOR FURTHER INFORMATION CONTACT: Vince Amodeo, Directorate for Engineering Sciences, Consumer Product Safety Commission, 5 Research Place Rockville, MD, 20850; Telephone (301) 987-2301 or e-mail: vamodeo@cpsc.gov.

SUPPLEMENTARY INFORMATION:

A. Background

The Commission has regulations for residential garage door operators (“GDOs”) to protect consumers from the risk of entrapment. 16 CFR part 1211. The Commission first issued the GDO standard in 1991 at the direction of the Consumer Product Safety Improvement Act of 1990 (“Improvement Act”), Public Law No. 101–608. Section 203

of the Improvement Act mandated that the entrapment protection requirements of the 1988 version of UL's 325, Third Edition, "Standard for Safety for Door, Drapery, Gate, Louver, and Window Operators and Systems," be considered a consumer product safety rule under the Consumer Product Safety Act. Section 203(c) of the Improvement Act established procedures for the Commission to revise the Commission's GDO standard. When UL revises the entrapment protection requirements of UL 325, UL must notify the Commission of the revision, and that revision "shall be incorporated in the consumer product safety rule ... unless, within 30 days of such notice, the Commission notifies [UL] that the Commission has determined that such revision does not carry out the purposes of subsection (b)" [of section 203 of the Improvement Act which mandated the UL 325 entrapment protection requirements initially]. As provided in the Improvement Act, the Commission has revised the GDO standard after UL has notified the Commission of changes to UL 325's entrapment protection requirements several times in the past.

The Commission last updated the mandatory rule in 2007, to reflect changes made to the entrapment protection provisions of UL 325 up to that time.

B. Changes to UL 325 and the Existing Regulation

Since the last update to the current mandatory rule in 2007, UL has published 11 revisions to UL 325, including the publication of the Sixth Edition in October 2013, and another revision to the Sixth Edition in June 2015. On November 4, 2013, UL notified the CPSC that UL had revised the entrapment protection requirements of UL 325 and had published a Sixth Edition of that standard on October 14, 2013. On June 4, 2015, UL notified the Commission that UL published a revision to UL 325 Sixth Edition on May

25, 2015. On November 27, 2013, and on June 24, 2015, CPSC staff submitted briefing packages to the Commission explaining the latest revisions to the UL standard and the basis for staff's conclusion that the revisions enhance entrapment protections and are likely to reduce the possibility that children will become entrapped by partially open garage doors. On December 3, 2013, and on June 30, 2015, the Commission voted to accept the revisions to UL 325, Sixth Edition. The Commission also directed staff to prepare and send to the Commission a draft revision of 16 CFR part 1211 that would include the revised UL requirements in the codified text of the existing rule.

In accordance with the Commission's previous votes, the Commission is issuing this proposed rule that would amend the mandatory GDO rule at 16 CFR part 1211 to include the revisions to the entrapment protection requirements of UL 325.

Since the last revision of the rule in 2007, UL has made several substantive changes to the entrapment protection requirements of UL 325. These changes allow for new technological advances but do not modify the requirements for GDOs. The proposed rule modifies appropriate sections of the Commission's GDO standard to incorporate the new UL requirements, as discussed in the summary of changes to the existing rule below.

C. Description of the Proposed Rule

All of the proposed revisions are in subpart A of the GDO standard. The Commission is not proposing any changes to the certification (subpart B) or recordkeeping (subpart C) provisions of the GDO standard. Proposed revisions to some sections of the rule are fairly extensive. For those sections, §§ 1211.2, 1211.4 through

1211.17 of the existing regulation, the proposed rule would either revise portions of the existing regulation or replace those sections completely and renumber them.

In addition, the proposed rule adds two new sections (§§ 1211.14 (unattended operation requirements) and 1211.15 (vertically moving combination rigid one-piece overhead residential garage door and operator system)). The proposal renumbers existing §§ 1211.14 through 1211.17 regarding instructions, labeling, and marking to become §§ 1211.16 through 1211.19 in the proposed rule. The proposed rule also includes some technical edits and revisions to correct typographical errors.

UL added requirements for certain types of GDOs that were not previously covered by the GDO standard. Most of the proposed revisions to the GDO standard involve adding requirements for these types of GDOs and making changes related to these provisions. In addition, UL added requirements for unattended operation of GDOs and for wireless control and communications. Finally, UL made several editorial changes throughout the standard to provide better descriptions of the appropriate requirements and test conditions, and UL also revised dimensional tolerances on test fixtures so that the fixtures can be manufactured using generally available machine tools. As discussed in more detail below, the Commission proposes to incorporate these changes into the Commission's GDO standard at 16 CFR part 1211.

GDOs that Open Horizontally. Because UL added requirements for GDOs that open horizontally, the Commission proposes revisions to differentiate between requirements for horizontal and vertical opening GDOs (§ 1211.6(d)). Entrapment protection requirements are similar for vertically and horizontally opening GDOs. UL added and clarified test requirements to address entrapment protection for either vertical

or horizontal movement and clarified wording throughout the standard, such as replacing “downward movement” with “closing movement,” and adding “vertically” or “horizontally” moving, where appropriate. Additionally, UL clarified secondary entrapment protection requirements for vertically and horizontally opening GDOs. The proposed rule incorporates these changes (§ 1211.8).

Combination Sectional Overhead GDOs. UL added requirements for combination sectional overhead GDOs, which are a door and operator combination, in which the door and hardware are an integral part of the operator, and in which the operator does not exert a driving force on the door in the closing direction. The proposed rule incorporates these changes (§ 1211.6(c)). Under UL’s revised provisions, this type of GDO must comply with the common requirements for GDOs; plus, they must comply with the requirements found in ANSI/DASMA 102-2004, *Specifications for Sectional Overhead Type Doors*, which the Commission proposes to incorporate by reference in the proposed rule (§ 1211.6(c)). ANSI/DASMA 102-2004 provides requirements for installation/operation, maintenance, durability, and identification of GDO systems with the name and address of the door system manufacturer, loads, in addition to general requirements. This ANSI/DASMA standard is available from ANSI/DASMA, or the standard may be examined at the offices of the *Federal Register*.

Additionally, the revised UL standard requires that the instructions for combination sectional overhead GDOs must specify: (1) the operator by manufacturer and model; (2) the doors by manufacturer, model, and maximum and minimum door width and height required for compliance to the entrapment protection requirements; (3) the hardware required to meet the entrapment protection requirements (§1211.16(a)(13));

and (4) how to properly counterbalance the door ((§1211.16(a)(14)). Finally, combination sectional overhead GDOs must be provided with permanent labels that contain specific warnings (§1211.17(k)) and markings (§1211.17 (m)). The proposed rule includes these requirements in the sections indicated.

Unattended Operation of GDOs. UL added requirements for unattended operation of GDOs, which is permitted if additional safety features are provided. The proposed rule includes these requirements (new § 1211.14). Under UL’s revised provisions, unattended operation is allowable only if proper installation instructions and markings are provided. Unattended GDOs must require one or more intentional actions to function and must require an audible and visual alarm that must signal for 5 seconds before door movement. Unattended operation is not permitted on one-piece or swinging garage doors. The word “bulb” is changed to “light” to address newer technologies that may use LEDs that may not be considered “bulbs” and clarifies that the visual or audio alarm during unattended operation does not require monitoring.

Combination Rigid One-Piece Overhead GDOs. UL added requirements for combination rigid one-piece overhead GDOs, which are a door and operator combination in which the door is constructed of one rigid piece. The proposed rule includes these requirements (new § 1211.15). Under UL’s revised provisions, this type of GDO must comply with the common requirements for GDOs; plus, the speed of the door edge during movement must not exceed 6 inches per second. This type of GDO also must provide two additional independent secondary entrapment-protection devices, including a minimum of two sensors. Additionally, these GDOs must provide a means of mechanically detaching both door operators from the door and must have an interlock to

de-energize the operator when detached. Finally, the installation instructions for combination rigid one-piece GDOs must specify attachment points for installation. The proposed rule includes these requirements for instructions (§ 1211.16(b)(2)(13)).

Wireless Control and Communication. UL added requirements for wireless control (§§ 1211.8(d) and 1211.10(f)), including additional tests for battery operation (§ 1211.10(g)) and wireless communication (§ 1211.10(h)). The proposed rule includes these requirements at the sections indicated.

Photoelectric Sensors. UL added requirements for alternate sources of light for the photoelectric sensor ambient light test. The proposed rule includes these requirements (§ 1211.11(e)(2)). The current test method specifies a specific DXC-RFL-2 flood lamp, which is becoming difficult to obtain in the marketplace. Instead, the proposed requirement would specify the minimum required wattage (500W) and maximum color temperature (3600K) of the bulb, to allow for available light sources without affecting the test results.

UL added a new test method for GDOs that use an array of “vertical” photoelectric sensors as a non-contact external entrapment protection device. The proposed rule includes this new test method (§1211.11 (d)(4) and new sub-paragraph (f)). The new method verifies that the “vertical” sensors function properly.

Clarifications. UL made several clarifications throughout the standard to improve clarity and describe test conditions better. The proposed rule includes these clarifications:

- electronic instructions (§ 1211.16(a)(10)) may be provided on alternate sources, such as CD-ROM, USB flash drive, or company website.
- for GDOs for one-piece doors that have an unattended operation function, certain markings are not required if the GDO automatically senses door operation (§§ 1211.16(b)(1)(ii), 1211.17(h), and 1211.18(m)),
- the requirements for UL markings for voltage, frequency, and input are clarified (§ 1211.18(b)(3) and (4)).
- UL marking requirements for risk of entrapment on GDOs that have user adjustments (§ 1211.18(i)) shall be located where visible to the user when making adjustments.
- requirements for the external entrapment protection device (*i.e.*, photoelectric sensor and edge sensor) test criteria (§ 1211.10(b), (c), and (e) and § 1211.11(d)(4)) are clarified, and the requirements for determining whether the system is operating normally before and after each test are made consistent throughout the standard.
- the requirements for the switch or relay used in the entrapment protection circuit (§ 1211.6(f)) are clarified by stating that the switch or relay must be capable of operating at a minimum cycling of 100,000 cycles, as intended in the GDO without failing, *and* that when/if failure does occur in actual use (at any cycle count), failure shall result in preventing further operation of the door.

The Commission requests comments on whether the codification in the proposed rule accurately reflects the changes to the entrapment protection provisions of UL 325.

D. Incorporation by Reference

The proposed rule would update the existing incorporations by reference in the mandatory rule to the most recent version of the appropriate voluntary standard, as follows:

- NFPA 70 (The standard addresses the installation of electrical conductors, equipment, and raceways; signaling and communications conductors, equipment, and raceways; and optical fiber cables and raceways in commercial, residential, and industrial occupancies.)(§ 1211.2(c));
- UL 991 (The requirements apply to controls that employ solid-state devices and are intended for specified safety-related protective functions.)(§ 1211.4(c), § 1211.5(c));
- UL 1998 (These requirements apply to non-networked embedded microprocessor software whose failure is capable of resulting in a risk of fire, electric shock, or injury to persons.)(§ 1211.8(d)); and
- UL 746C (These requirements cover parts made of polymeric materials that are used in electrical equipment and describe the various test procedures and their use in the testing of such parts and equipment.)(§§1211.10(d), (e), and § 1211.12(c)(2)).

In addition, section 1211.6(c) of the proposed rule would add a new incorporation by reference for ANSI/DASMA 102-2004.

The Office of the Federal Register (“OFR”) has regulations concerning incorporation by reference. 1 CFR part 51. The OFR recently revised these regulations to require that, for a proposed rule, agencies must discuss in the preamble to the NPR, the

ways that the materials the agency proposes to incorporate by reference are reasonably available to interested persons or how the agency worked to make the materials reasonably available. In addition, the preamble to the proposed rule must summarize the material. 1 CFR 51.5(a).

In accordance with the OFR's requirements, this section and section C of this preamble summarize the provisions of the voluntary standards that the Commission proposes to incorporate by reference and to update:

- Specifications for Sectional Doors, ANSI/DASMA 102-2004. ANSI/DASMA 102-2004 is copyrighted. Copies may be obtained from the Door and Access Systems Manufacturers' Association, International, 1300 Sumner Avenue, Cleveland, OH 44115-2851, telephone (216) 241-7333, or online at: <http://www.dasma.com/pdf/publications/standards/102-2004.pdf>.
- National Electrical Code, NFPA 70, 2014 edition. NFPA 70 is copyrighted. Copies may be obtained from the National Fire Protection Association, 1 Batterymarch Park, Quincy, MA 02269-9101 (800) 344-3555.
- Standard for Safety for Tests for Safety-Related Controls Employing Solid-State Devices, UL 991, Third Edition, dated October 22, 2004.
- Standard for Safety for Software in Programmable Components, UL 1998, Third Edition, dated December 18, 2013.
- Standard for Safety for Polymeric Materials—Use in Electrical Equipment Evaluations, UL 746C, Sixth Edition, dated September 10, 2004.

The UL standards listed above are copyrighted. For the UL standards, may be obtained online at: <http://ulstandards.ul.com/>. One may also inspect a copy of all of the above-referenced standards at CPSC's Office of the Secretary, U.S. Consumer Product Safety Commission, Room 820, 4330 East West Highway, Bethesda, MD 20814, Telephone: (301) 504-7923.

E. Effective Date

The requirements for residential GDOs in UL 325, Sixth Edition are currently in effect. Based on reports from industry representatives, all known manufacturers and importers currently conform to the provisions. Therefore, the Commission is proposing that the effective date of the rule, if finalized, would be 30 days from the date of publication of the final rule in the *Federal Register*. This effective date would not adversely affect the cost or availability of conforming GDOs.

F. Regulatory Flexibility Act

The Regulatory Flexibility Act (“RFA”) generally requires that agencies review proposed and final rules for the rules’ potential economic impact on small entities, including small businesses, and prepare regulatory flexibility analyses. 5 U.S.C. 603 and 604. Because the existing level of conformance with the revisions to UL 325, Sixth Edition, is unanimous, and no new compliance costs or other burdens would be associated with the proposed amendment, the Commission certifies under the RFA that the rule would not likely have a significant impact on a substantial number of small businesses or other small entities. Under section 605(b) of the RFA, 5 U.S.C. 605(b), the Commission certifies that this rule will not have a significant impact on a substantial number of small entities.

G. Environmental Considerations

The Commission’s regulations provide a categorical exclusion for Commission rules from any requirement to prepare an environmental assessment or an environmental impact statement because the rules “have little or no potential for affecting the human environment.” 16 CFR 1021.5(c)(2). This proposed rule falls within the categorical exclusion, so no environmental assessment or environmental impact statement is required. The Commission’s regulations state that safety standards for products normally have little or no potential for affecting the human environment. 16 CFR 1021.5(c)(1). Nothing in this proposed rule alters that expectation.

H. Preemption

The Improvement Act contains a preemption provision that states: “those provisions of laws of States or political subdivisions which relate to the labeling of automatic residential garage door openers and those provisions which do not provide at least the equivalent degree of protection from the risk of injury associated with automatic residential garage door openers as the consumer product safety rule” are subject to preemption under 15 U.S.C. 2075. Public Law No. 101–608, section 203(f).

List of Subjects in 16 CFR Part 1211

Consumer protection, Imports, Labeling, Reporting and recordkeeping requirements.

For the reasons set forth in the preamble, the Commission proposes to amend Subpart A of 16 CFR part 1211, as follows:

PART 1211—SAFETY STANDARDS FOR AUTOMATIC RESIDENTIAL GARAGE DOOR OPERATORS

1. The authority citation for part 1211 continues to read as follows:

Authority: Sec. 203 of Public Law No. 101–608, 104 Stat. 3110; 15 U.S.C. 2063 and 2065.

2. Amend part 1211 by revising the table of contents for Subpart A to read as follows:

Subpart A—The Standard

Sec.

- 1211.1 Effective date.
- 1211.2 Definition.
- 1211.3 Units of measurement.
- 1211.4 General requirements for protection against risk of injury.
- 1211.5 General testing parameters.
- 1211.6 General entrapment protection requirements.
- 1211.7 Inherent entrapment protection requirements.
- 1211.8 Secondary entrapment protection requirements.
- 1211.9 Additional entrapment protection requirements.
- 1211.10 Requirements for all entrapment protection devices.
- 1211.11 Requirements for photoelectric sensors.
- 1211.12 Requirements for edge sensors.
- 1211.13 Inherent force activated secondary door sensors.
- 1211.14 Unattended operation requirements.
- 1211.15 Vertically moving combination rigid one-piece overhead residential garage door and operator system.
- 1211.16 Instruction manual.
- 1211.17 Field-installed labels.
- 1211.18 UL marking requirements.
- 1211.19 Statutory labeling requirement.

3. Amend § 1211.2 by revising paragraph (c) to read as follows:

§ 1211.2 Definition.

* * * * *

(c) Is intended to be employed in ordinary locations in accordance with the National Electrical Code, NFPA 70, 2014 edition. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained from the National Fire Protection Association, 1 Batterymarch Park, Quincy, MA 02269-9101, Telephone: (800) 344-3555. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA. For information on the availability of this material at NARA, call (202) 741-6030, or go to:

http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

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4. Amend § 1211.4 by revising paragraph (c) to read as follows:

§ 1211.4 General requirements for protection against risk of injury.

* * * * *

(c) An electronic or solid-state circuit that performs a back-up, limiting, or other function intended to reduce the risk of fire, electric shock, or injury to persons, including entrapment protection circuits, shall comply with the requirements in the Standard for Safety for Tests for Safety-Related Controls Employing Solid-State Devices, UL 991, Third Edition, dated October 22, 2004, including environmental and stress tests appropriate to the intended usage of the end-product. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained online at <http://ulstandards.ul.com/>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary,

4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to:

http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

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5. Amend § 1112.5 by:

a. Revising paragraph (a)(1) and (a)(6);

b. Revising paragraph (b)(3); and

c. At the end of § 1211.5, adding Figure 1 -- Critical Condition Flow Chart for Residential Garage Door Operator Entrapment Protection Devices and Functions.

The revisions read as follows:

§ 1211.5 General testing parameters.

(a) * * *

(1) With regard to electrical supervision of critical components, an operator being inoperative with respect to closing movement of the door meets the criteria for trouble indication.

* * * * *

(6) When a Computational Investigation is conducted, λ_p shall not be greater than 6 failures/ 10^6 hours for the entire system. For external secondary entrapment protection devices or systems that are sold separately, λ_p shall not be greater than 0 failures/ 10^6 hours. For internal secondary entrapment protection devices or systems whether or not they are sold separately, λ_p shall not be greater than 0 failures/ 10^6 hours. The operational test is conducted for 14 days. An external secondary entrapment protection device or

system that is sold separately, and that has a λ_p greater than 0 failures/ 10^6 hours meets the intent of the requirement when for the combination of the operator and the specified external secondary entrapment protection device λ_p does not exceed 6 failures/ 10^6 hours. See § 1211.18(j) through (l).

(b) * * *

(3) During the Power Cycling Safety for Tests in accordance with the Standard for Safety for Tests for Safety-Related Controls Employing Solid-State Devices, UL 991, Third Edition, dated October 22, 2004. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained online at <http://ulstandards.ul.com/>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to:

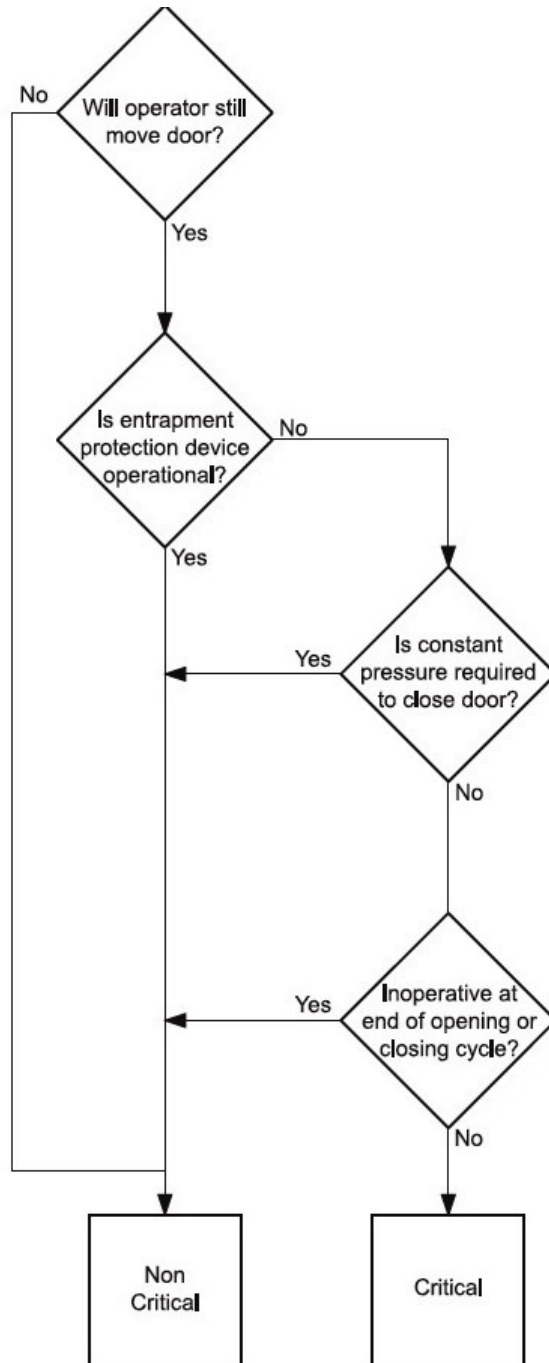
http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

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Figure 1

Critical Condition Flow Chart for Residential Garage Door Operator

Entrapment Protection Devices and Functions



6. Revise § 1211.6 to read as follows:

§ 1211.6 General entrapment protection requirements.

(a) A residential garage door operator system shall be provided with inherent primary entrapment protection that complies with the requirements as specified in §1211.7.

(b) In addition to the inherent primary entrapment protection as required by paragraph (a) of this section, a vertically moving residential garage door operator shall comply with one of the following:

(1) Shall be constructed to:

(i) Require constant pressure on a control intended to be installed and activated within line of sight of the door to lower the door,

(ii) Reverse direction and open the door to the upmost position when constant pressure on a control is removed prior to operator reaching its lower limit, and

(iii) Limit a portable transmitter, when supplied, to function only to cause the operator to open the door;

(2) Shall be provided with a means for connection of an external secondary entrapment protection device as described in §§1211.8, 1211.10, and 1211.11; or

(3) Shall be provided with an inherent secondary entrapment protection device as described in §§1211.8(a), 1211.8(c), 1211.8(f), 1211.10, and 1211.12 and is:

(i) A combination sectional overhead garage door operator system as described in § 1211.6(c), and

(ii) For use only with vertically moving garage doors.

With respect to § 1211.6(b)(3)(i), trolley-driven operators do not meet the definition of a combination sectional overhead garage door operator system.

(c) In the case of a vertically moving combination sectional overhead garage door operator system, the door shall comply with the requirements in Specifications for Sectional Doors, ANSI/DASMA 102, 2004 revision, dated October 22, 2004. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained from the Door and Access Systems Manufacturers' Association, International, 1300 Sumner Avenue, Cleveland, OH 44115-2851, telephone (216) 241-7333, or online at <http://www.dasma.com/pdf/publications/standards/102-2004.pdf>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to:

http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

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(d) In addition to the inherent primary entrapment protection as required by § 1211.6 (a), a horizontally sliding residential garage door operator shall comply with one of the following:

(1) Shall be constructed to:

(i) Require constant pressure on a control to close the door,

(ii) Reverse direction and open the door a minimum of 2 in (50.8 mm) when

constant pressure on a control is removed prior to operator reaching its position limit, and

(iii) Stop the door if a second obstruction is detected in the reverse direction.

(2) Shall be provided with a means for connection of an external secondary entrapment protection device for each leading edge as described in § 1211.8.

(e) A mechanical switch or a relay used in an entrapment protection circuit of an operator shall withstand 100,000 cycles of operation controlling a load no less severe (voltage, current, power factor, inrush and similar ratings) than it controls in the operator, and shall function normally upon completion of the test.

(f) In addition to complying with paragraph (e) of this section, in the event of a malfunction of a switch or relay (open or short) described in paragraph (c) of this section results in loss of any entrapment protection required by §§1211.7(a), 1211.7(b)(7), 1211.7(c)(7), 1211.8(a), or 1211.8(b), the door operator shall become inoperative at the end of the opening or closing operation, the door operator shall move the door to, and stay within, 1 foot (305 mm) of the uppermost position.

7. Revise §1211.7 to read as follows:

§ 1211.7 Inherent primary entrapment protection requirements.

(a) *General requirements.* A vertically moving residential garage door operator system shall be supplied with inherent primary entrapment protection that complies with the requirements as specified in paragraph (b) of this section. A horizontally sliding residential garage door operator system shall be supplied with inherent primary entrapment protection that complies with the requirements as specified in paragraph (c) of this section.

(b) *Inherent primary entrapment protection, vertically moving doors.* (1)(i) For a vertically moving residential garage door operator system, other than for the first 1 foot

(305mm) of door travel from the full upmost position both with and without any secondary external entrapment protection device functional, the operator of a downward moving residential garage door shall initiate reversal of the door within 2 seconds of contact with the obstruction as specified in subparagraph (b)(3) of this section. After reversing the door, the operator shall return the door to, and stop at, the full upmost position. Compliance shall be determined in accordance with paragraphs (b)(3) through (b)(10) of this section.

(ii) The door operator is not required to return the door to, and stop the door at, the full upmost position when the operator senses a second obstruction during the upward travel.

(iii) The door operator is not required to return the door to, and stop the door at, the full upmost position when a control is actuated to stop the door during the upward travel—but the door can not be moved downward until the operator reverses the door a minimum of 2 inches (50.8 mm).

(2) The test shall be performed on a representative operating system installed in accordance with the manufacturer's installation instructions with the operator exerting a 25-lbf (111.21-N) pull or its rated pull, whichever is greater.

(3)(i) A solid object is to be placed on the floor of the test installation and at various heights under the edge of the door and located in line with the driving point of the operator. When tested on the floor, the object shall be 1 inch (25.4 mm) high. In the test installation, the bottom edge of the door under the driving force of the operator is to be against the floor when the door is fully closed.

(ii) For operators other than those attached to the door, a solid object is not required to be located in line with the driving point of the operator. The solid object is to be located at points at the center, and within 1 foot of each end of the door.

(iii) To test operators for compliance with requirements in paragraphs (b)(1)(iii), (b)(7)(iii), and (b)(8)(iii) of this section and §1211.13(c), a solid rectangular object measuring 4 inches (102 mm) high by 6 inches (152 mm) wide by a minimum of 6 inches (152 mm) long is to be placed on the floor of the test installation to provide a 4-inch (102 mm) high obstruction when operated from a partially open position.

(4) An operator is to be tested for compliance with paragraph (b)(1) of this section for 50 open-and-close cycles of operation while the operator is connected to the type of residential garage door with which it is intended to be used or with the doors specified in paragraph (b)(6) of this section. For an operator having a force adjustment on the operator, the force is to be adjusted to the maximum setting or at the setting that represents the most severe operating condition. Any accessories having an effect on the intended operation of entrapment protection functions that are intended for use with the operator, are to be attached and the test is to be repeated for one additional cycle.

(5) For an operator that is to be adjusted (limit and force) according to instructions supplied with the operator, the operator is to be tested for 10 additional obstruction cycles using the solid object described in paragraph (b)(3) of this section at the maximum setting or at the setting that represents the most severe operating condition.

(6) For an operator that is intended to be used with more than one type of door, one sample of the operator is to be tested on a sectional door with a curved track and one sample is to be tested on a one-piece door with jamb hardware and no track. For an

operator that is not intended for use on either or both types of doors, a one-piece door with track hardware or a one-piece door with pivot hardware shall be used for the tests. For an operator that is intended for use with a specifically dedicated door or doors, a representative door or doors shall be used for the tests. See the marking requirements at §1211.18.

(7)(i) An operator, employing an inherent entrapment protection system that measures or monitors the actual position of the door, shall initiate reversal of the door and shall return the door to, and stop the door at, the full upmost position in the event the inherent door operating “profile” of the door differs from the originally set parameters. The entrapment protection system shall measure or monitor the position of the door at increments not greater than 1 inch (25.4 mm).

(ii) The door operator is not required to return the door to, and stop the door at, the full upmost position when an inherent entrapment circuit senses an obstruction during the upward travel.

(iii) The door operator is not required to return the door to, and stop the door at, the full upmost position when a control is actuated to stop the door during the upward travel—but the door can not be moved downward until the operator reverses the door a minimum of 2 inches (50.8 mm).

(8)(i) An operator, using an inherent entrapment protection system that does not measure or monitor the actual position of the door, shall initiate reversal of the door and shall return the door, to and stop the door at the full upmost position, when the lower limiting device is not actuated in 30 seconds or less following the initiation of the close cycle.

(ii) The door operator is not required to return the door to, and stop the door at, the full upmost position when an inherent entrapment circuit senses an obstruction during the upward travel. When the door is stopped manually during its descent, the 30 seconds shall be measured from the resumption of the close cycle.

(iii) The door operator is not required to return the door to, and stop the door at, the full upmost position when a control is actuated to stop the door during the upward travel—but the door can not be moved downward until the operator reverses the door a minimum of 2 inches (50.8 mm). When the door is stopped manually during its descent, the 30 seconds shall be measured from the resumption of the close cycle.

(9) To determine compliance with paragraph (b)(7) or (b)(8) of this section, an operator is to be subjected to 10 open-and-close cycles of operation while connected to the door or doors specified in paragraphs (b)(4) and (b)(6) of this section. The cycles are not required to be consecutive. Motor cooling-off periods during the test meet the intent of the requirement. The means supplied to comply with the requirement in paragraph (b)(1) of this section and §1211.8(a) or 1211.8(b) are to be defeated during the test. An obstructing object is to be used so that the door is not capable of activating a lower limiting device.

(10) During the closing cycle referred to in paragraph (b)(9) of this section, the system providing compliance with paragraphs (b)(1) and (b)(7) or paragraphs (b)(1) and (b)(8) of this section shall function regardless of a short- or open-circuit anywhere in any low-voltage external wiring, any external entrapment devices, or any other external component.

(c) *Inherent primary entrapment protection, horizontally sliding doors.* (1)(i) For a horizontally sliding residential garage door operator system, other than for the first 1 foot (305mm) of door travel from the full closed position both with and without any external entrapment protection device functional, the operator of a closing residential garage door shall initiate reversal of the door within 2 s of contact with the obstruction as specified in paragraph (3). After reversing the door, the operator shall open the door a minimum of 2 inches (50.8 mm) from the edge of the obstruction. Compliance shall be determined in accordance with paragraphs (c)(2) through (10) of this section.

(ii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when the operator senses a second obstruction during the closing direction of travel.

(iii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when a control is actuated to stop the door during movement towards the open position – but the door can not be moved towards the open position until the operator reverses the door a minimum of 2 inches (50.8 mm).

(2) The test shall be performed on a representative operating system installed in accordance with the manufacturer's installation instructions with the operator exerting a 25-lbf (111.21-N) pull or its rated pull, whichever is greater.

(3)(i) A solid object is to be placed on the floor of the test installation and rigidly supported within the bottom track and then repeated with the solid object placed on the floor and rigidly supported external to the track. The test shall then be repeated with the solid object rigidly supported at heights of 1 ft (305 mm), 3 ft (914 mm), 5 ft (1524 mm), and within 1 ft (305 mm) of the top edge. The object shall be 1 inch (25.4 mm) in width.

(ii) For operators other than those attached to the door, a solid object is not required to be located in line with the driving point of the operator. The solid object is to be located at points at the center and within 1 ft of each end of the door opening.

(iii) To test operators for compliance with paragraphs (c)(1)(iii), (c)(7)(iii), and (c)(8)(iii) of this section, and § 1211.13(c), a solid rectangular object measuring 4 inches (102 mm) high by 6 inches (152 mm) wide by a minimum of 6 in (152 mm) long is to be placed on the floor of the test installation to provide a 4 in (102 mm) high obstruction when operated from a partially open position with the test repeated with the bottom edge of the obstruction rigidly supported at heights of 1 ft (305 mm), 3ft (914 mm), 5ft (1524 mm), and within 1 ft (305 mm) of the top edge.

(4) An operator is to be tested for compliance with paragraph (c)(1) of this section for 50 open-and-close cycles of operation while the operator is connected to the type of residential garage door with which it is intended to be used or with the doors specified in paragraph (c)(6) of this section. For an operator having a force adjustment on the operator, the force is to be adjusted to the maximum setting or at the setting that represents the most severe operating condition. Any accessories having an effect on the intended operation of entrapment protection functions that are intended for use with the operator, are to be attached and the test is to be repeated for one additional cycle.

(5) For an operator that is to be adjusted (limit and force) according to instructions supplied with the operator, the operator is to be tested for 10 additional obstruction cycles using the solid object described in paragraph (c)(3) of this section at the maximum setting or at the setting that represents the most severe operating condition.

(6) For an operator that is intended to be used with more than one type of door, one sample of the operator is to be tested on a sectional door with a curved track and one sample is to be tested on a one-piece door with jamb hardware and no track. For an operator that is not intended for use on either or both of these types of doors, a one-piece door with track hardware or a one-piece door with pivot hardware shall be used for the tests. For an operator that is intended for use with a specifically dedicated door or doors, a representative door or doors shall be used for the tests. See the marking requirements in § 1211.18.

(7)(i) An operator, employing an inherent entrapment protection control that measures or monitors the actual position of the door, shall initiate reversal of the door and shall return the door to, and stop the door at, the fully closed position in the event the inherent door operation "profile" of the door differs from the originally set parameters. The system shall measure or monitor the position of the door at increments not greater than 1 inch (25.4 mm).

(ii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when an inherent entrapment circuit senses an obstruction during the reversing travel.

(iii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when a control is actuated to stop the door during the opening direction – but the door can not be moved in the closing direction until the operator reverses the door a minimum of 2 inches (50.8 mm).

(8)(i) An operator, using an inherent entrapment protection system that does not measure or monitor the actual position of the door, shall initiate reversal of the door and

shall open the door a minimum 2 inches (50.8 mm) when the closed position limit device is not actuated within 30 seconds or less following the initiation of the close cycle.

(ii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when an inherent entrapment circuit senses an obstruction during the reversing travel.

(iii) The door operator is not required to open the door a minimum 2 inches (50.8 mm) when a control is actuated to stop the door during the opening direction – but the door can not be moved in the closing direction until the operator has reversed the door a minimum of 2 inches (50.8 mm). When the door is stopped manually during its closing, the 30 seconds shall be measured from the resumption of the close cycle.

(9) To determine compliance with paragraph (c)(7) or (c)(8) of this section, an operator is to be subjected to 10 open-and-close cycles of operation while connected to the door or doors specified in paragraphs (c)(4) and (c)(6) of this section. The cycles are not required to be consecutive. Motor cooling-off periods during the test meet the intent of the requirement. The means supplied to comply with paragraph (c)(1) of this section and § 1211.8(b) are to be inoperative or defeated during the test. An obstructing object is to be used so that the door is not capable of activating a position limiting device.

(10) During the closing cycle referred to in paragraph (c)(9) of this section, the system providing compliance with paragraphs (c)(1) and (c)(7) or paragraphs (c)(1) and (c)(8) of this section shall function regardless of a short- or open-circuit anywhere in any low-voltage external wiring, any external entrapment devices, or any other external component.

8. Revise §1211.8 to read as follows:

§ 1211.8 Secondary entrapment protection requirements.

(a)(1) For a vertically moving door operator, a secondary entrapment protection device supplied with, or as an accessory to, an operator shall consist of:

(i) An external photoelectric sensor that when activated results in an operator that is closing a door to reverse direction of the door, returns the door to, and stops the door at the fully open position, and the sensor prevents an operator from closing an open door,

(ii) An external edge sensor installed on the edge of the door that, when activated results in an operator that is closing a door to reverse direction of the door, returns the door to, and stops the door at the fully open position, and the sensor prevents an operator from closing an open door,

(iii) An inherent door sensor independent of the system used to comply with §1211.7 that, when activated, results in an operator that is closing a door to reverse direction of the door and the sensor prevents an operator from closing an open door, or

(iv) Any other external or internal device that provides entrapment protection equivalent to paragraphs (a)(1)(i), (a)(1)(ii), or (a)(1)(iii) of this section.

(2) The door operator is not required to return the door to, and stop the door at, the fully open position when an inherent entrapment circuit senses an obstruction during the opening travel.

(3) The door operator is not required to return the door to, and stop the door at, the fully open position when a control is actuated to stop the door during the opening travel - but the door cannot be moved towards the closing direction until the operator has reversed the door a minimum of 2 inches (50.8 mm).

(b) For horizontal sliding garage door operators, a secondary entrapment protection device supplied with, or as an accessory to, an operator shall consist of:

(1) An external photoelectric sensor that, when activated, results in an operator that is closing or opening a door to reverse direction of the door for a minimum of 2 inches (50.8 mm); or

(2) An external edge sensor installed on the edge of the door that, when activated, results in an operator that is closing or opening a door to reverse direction of the door for a minimum of 2 inches (50.8 mm).

(c) With respect to paragraphs (a) and (b) of this section, the operator shall monitor for the presence and correct operation of the device at least once during each close cycle. Should the device not be present or a fault condition occurs which precludes the sensing of an obstruction, including an interruption of the wireless signal to the wireless device or an open or short circuit in the wiring that connects an external entrapment protection device to the operator and device's supply source, the operator shall be constructed such that:

(1) For a vertically moving door, the closing door shall open and an open door shall not close more than 1 foot (305 mm) below the upmost position.

(2) For a horizontally sliding door, the door shall not move in the opening or closing direction; or

(3) The operator shall function as required by §1211.6(b)(1).

(d) An external entrapment protection device or system, when employing a wireless control, shall comply with §1211.8(e) when installed at its farthest distance from the operator as recommended in the installation instructions.

(e) An external entrapment protection device shall comply with the applicable requirements in §§1211.10, 1211.11 and 1211.12.

(f) An inherent secondary entrapment protection device shall comply with the applicable requirements in §1211.13. Software used in an inherent entrapment protection device shall comply with the Standard for Safety for Software in Programmable Components, UL 1998, Third Edition, December 18, 2013. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained online at <http://ulstandards.ul.com/>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to: http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

9. Amend § 1211.9 by:

- a. Revising paragraph (a);
- b. Revising paragraph (b)(2); and
- c. Revising paragraph (c).

The revisions read as follows:

§ 1211.9 Additional entrapment protection requirements.

(a) A means to manually detach the door operator from the door shall be supplied. The gripping surface (handle) shall be colored red and shall be easily distinguishable from the rest of the operator. It shall be capable of being adjusted to a height of 6 feet

(1.8 m) above the garage floor when the operator is installed according to the instructions specified in §1211.16(a)(2). The means shall be constructed so that a hand firmly gripping it and applying a maximum of 50 pounds (223 N) of force shall detach the operator with the door obstructed in the down position. The obstructing object, as described in §1211.7(b)(3)(i), is to be located in several different positions. A marking with instructions for detaching the operator shall be provided as required by §1211.17(a), §1211.17(b), and §1211.17(j) as applicable.

(b) * * *

(2) The door is capable of being moved to the 2-inch (50.8-mm) point from any position between closed and the 2-inch (50.8-mm) point.

(c) Actuation of a control that initiates movement of a door shall stop and may reverse the door on the closing cycle. On the opening cycle, actuation of a control shall stop the door but not reverse it.

* * * * *

10. Revise § 1121.10, including figure 2, to read as follows:

§ 1211.10 Requirements for all entrapment protection devices.

(a) *General requirements.* (1) An external entrapment protection device shall perform its intended function when tested in accordance with paragraphs (a)(2) through (4) of this section.

(2) The device is to be installed in the intended manner and its terminals connected to circuits of the door operator as indicated by the installation instructions.

(3) The device is to be installed and tested at minimum and maximum heights and widths representative of recommended ranges specified in the installation instructions.

For doors, if not specified, devices are to be tested on a minimum 7 foot (2.1 m) wide door and maximum 20 foot (6.1 m) wide door.

(4) If powered by a separate source of power, the power-input supply terminals are to be connected to supply circuits of rated voltage and frequency.

(5) An external entrapment protection device requiring alignment, such as a photoelectric sensor, shall be provided with a means, such as a visual indicator, to show proper alignment and operation of the device.

(b) *Current protection test.* (1) There shall be no damage to the entrapment protection circuitry if low voltage field-wiring terminals or leads are shortened or miswired to adjacent terminals.

(2) To determine compliance with paragraph (b)(1) of this section, an external entrapment protection device is to be connected to a door operator or other source of power in the intended manner, after which all connections to low voltage terminals or leads are to be reversed as pairs, reversed individually, or connected to any low voltage lead or adjacent terminal.

(3) After restoring the connections in the intended manner:

(i) A photoelectric sensor shall comply with the Normal Operation tests per §1211.11(a) through (c), and

(ii) An edge sensor shall comply with the Normal Operation test, per §1211.12(a).

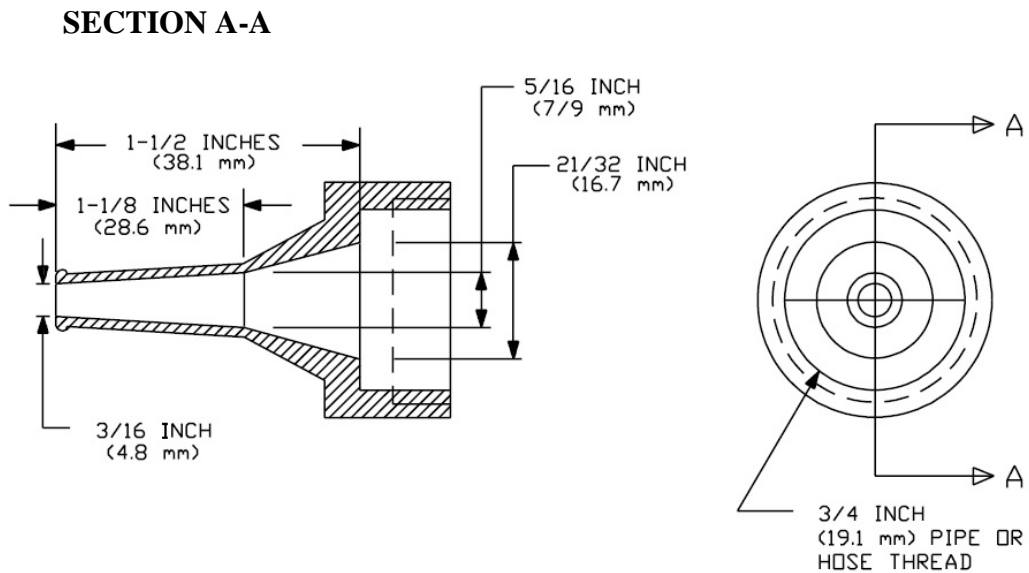
(c) *Splash test.* (1) An external entrapment protection device intended to be installed inside a garage 3 feet or less above the floor shall withstand a water exposure as described in paragraph (c)(2) of this section without resulting in a risk of electric shock

and shall function as intended, per paragraph (c)(3) of this section. After exposure, the external surface of the device may be dried before determining its functionality.

(2) External entrapment protection devices are to be indirectly sprayed using a hose having the free end fitted with a nozzle as illustrated in figure 2 and connected to a water supply capable of maintaining a flow rate of 5 gallons (19 liters) per minute as measured at the outlet orifice of the nozzle. The water from the hose is to be played, from all sides and at any angle against the floor under the device in such a manner most likely to cause water to splash the enclosure of electric components. However, the nozzle is not to be brought closer than 10 feet (3.05 m) horizontally to the device. The water is to be sprayed for 1 minute.

Figure 2

Nozzle



(3) After drying the external surface of the device:

(i) A photoelectric sensor shall comply with the Normal Operation Tests per §1211.11(a) through (c), and

(ii) An edge sensor shall comply with the Normal Operation Test, per §1211.12(a).

(iii) There shall be no water on uninsulated live parts of a line voltage circuit.

(d) *Ultraviolet light exposure test.* A polymeric material used as a functional part of a device that is exposed to outdoor weather conditions shall comply with the Ultraviolet Light Exposure Test described in the Standard for Safety for Polymeric Materials—Use in Electrical Equipment Evaluations, UL 746C, Sixth Edition, dated September 10, 2004. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained online at <http://ulstandards.ul.com/>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to:

http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html
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(e) *Resistance to impact test.* (1) An external entrapment protection device employing a polymeric or elastomeric material as a functional part shall be subjected to the impact test specified in paragraph (e)(2) of this section. As a result of the test:

(i) There shall be no cracking or breaking of the part, and

(ii) The part shall operate as intended, per paragraph (e)(4) of this section, or, if dislodged after the test, is capable of being restored to its original condition.

(2) Samples of the external entrapment protection device are to be subjected to the Resistance to Impact Test described in the Standard for Polymeric Materials—Use in Electrical Equipment Evaluations, UL 746C, Sixth Edition, dated September 10, 2004, as incorporated by reference in paragraph (d) of this section. The external entrapment protection device is to be subjected to 5 foot-pound (6.8 J) impacts. Three samples are to be tested, each sample being subjected to three impacts at different points.

(3) In lieu of conducting the room temperature test described in paragraph (e)(2) of this section, each of three samples of a device exposed to outdoor weather when the door is the closed position are to be cooled to a temperature of minus 31.0 ± 3.6 °F (minus 35.0 ± 2.0 °C) and maintained at this temperature for 3 hours. Three samples of a device employed inside the garage are to be cooled to a temperature of 32.0 °F (0.0 °C) and maintained at this temperature for 3 hours. While the sample is still cold, the samples are to be subjected to the impact test described in paragraph (e)(1) of this section.

(4) To determine compliance with paragraph (e)(1)(ii) of this section:

(i) A photoelectric sensor shall comply with the Normal Operation tests per § 1211.11(a) through (c), and

(ii) An edge sensor shall comply with the Normal Operation Test, per § 1211.12(a).

(f) *External entrapment protection devices with wireless control.*

(1) *Initial test set-up.* (i) For a wireless device intended to be powered by a non-rechargeable battery, a fully charged battery shall be installed per the instructions or markings on the product. See § 1211.16 (a)(7),

(ii) An entrapment protection device or system employing a wireless control, or separately supplied for, shall be installed per the manufacturer's instructions.

(2) *Radiated immunity test.* (i) An external entrapment protection device when employing wireless control shall operate as specified in § 1211.8 (a) through (e) as applicable; or is rendered inoperative (any case in which the operator will not complete a full cycle, open and close, of travel) when tested in accordance with paragraph (f)(2)(ii) of this section.

(ii) Compliance to paragraph (f)(2)(i) of this section is verified by simulating an obstruction during the period of the electric field strength test of § 1211.4 (c).

(g) *Battery test for wireless devices.* (1) An external entrapment protection device when employing a battery powered wireless control shall operate as specified in § 1211.8 (a) through (e) as applicable; or is rendered inoperative (any case in which the operator will not complete a full cycle, open and close, of travel) when tested in accordance with paragraph (g)(2) of this section.

(2) Compliance with paragraph (g)(1) of this section shall be verified with battery charge at the following levels:

(i) Fully charged, and

(i) Discharged per the manufacturer's recommendations to the wireless device's lowest operational voltage.

(3) An external entrapment protection device employing a battery powered wireless device operating under conditions with a fully discharged battery or when the battery is discharged sufficiently to cause the device or system to render the moving door

inoperative, shall be considered a single point fault for complying with §§ 1211.5(b) and 1211.8 (c).

(h) *Ambient light test for wireless device with IR communication.* (1) An external entrapment protection device, when employing an IR communication shall operate as specified in § 1211.8 (a) through (e) as applicable; or is rendered inoperative (any case in which the operator will not complete a full cycle, open and close, of travel) when subjected to ambient light impinging at an angle of 15 to 20 degrees from the axis of the beam when tested in accordance with paragraph (h)(2) of this section.

(2) An external entrapment protection device when employing an IR communication shall be set up at maximum range per paragraph (h)(1) of this section. The ambient light test described in § 1211.11(e)(2) shall be conducted with the light source impinging on each IR receiver, one at a time that is part of the wireless control system between the external entrapment protection device and the operator.

11. Revise § 1211.11, including figures 3 through 6, to read as follows:

§ 1211.11 Requirements for photoelectric sensors.

(a) *Normal operation test.* When installed as described in § 1211.10(a) (1) through (4), a photoelectric sensor of a vertically moving door shall sense an obstruction as described in paragraph (c) of this section that is to be placed on the floor at three points over the width of the door opening, at distances of 1 foot (305 mm) from each end and the midpoint.

(b) When installed as described in § 1211.10 (a)(1) through (4), a photoelectric sensor of a horizontally moving door shall be tested per paragraph (c) of this section that is to be placed on a level surface within the path of the moving door. The sensor is to be

tested with the obstruction at a total of five different locations over the height of the door or gate opening. The locations shall include distances 1 in (25.4 mm) from each end, 1 ft (305 mm) from each end, and the midpoint.

(c) The obstruction noted in paragraphs (a) and (b) of this section shall consist of a white vertical surface 6 inches (152 mm) high by 12 inches (305 mm) long. The obstruction is to be centered in the opening perpendicular to the plane of the door when in the closed position. See figure 3.

Figure 3

Stationary Obstruction

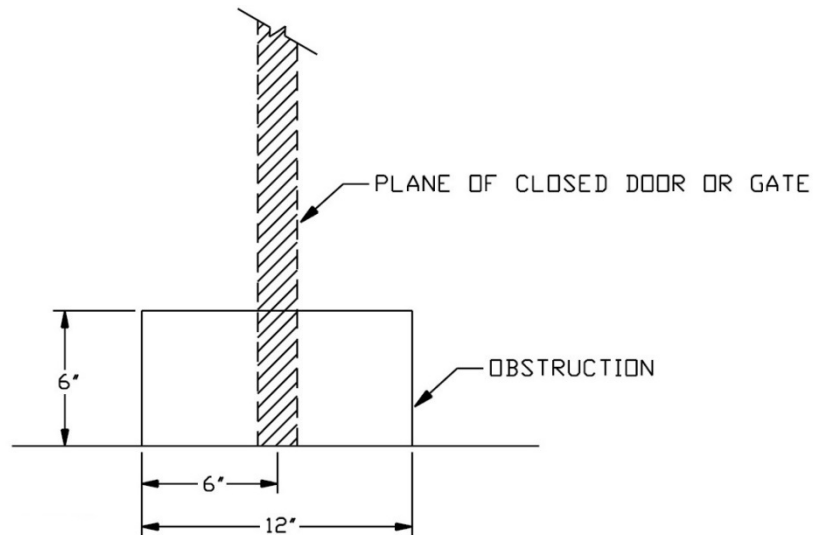
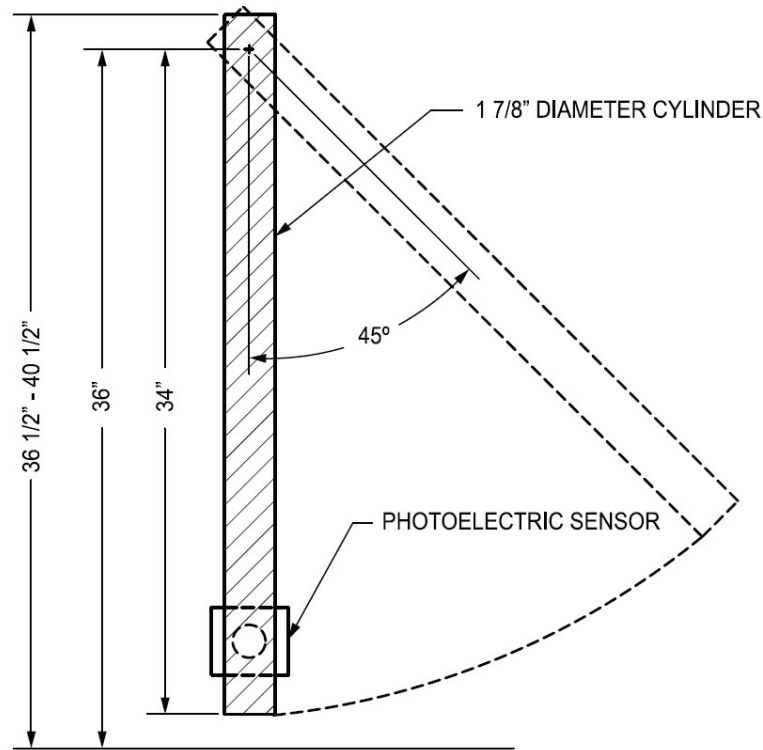


Figure 4

Moving Obstruction

(d) *Sensitivity test.* (1) When installed as described in § 1211.10(a)(1) through (4), a photoelectric sensor shall sense the presence of a moving object when tested according to paragraph (d)(2) of this section.

(2) The moving object is to consist of a $1\frac{7}{8}$ inch (47.6 mm) diameter cylindrical rod, $34\frac{1}{2}$ inches (876 mm) long, with the axis point being 34 inches (864 mm) from the end. The axis point is to be fixed at a point centered directly above the beam of the photoelectric sensor 36 inches (914 mm) above the floor. The photoelectric sensor is to be mounted at the highest position as recommended by the manufacturer. The rod is to be swung as a pendulum through the photoelectric sensor's beam from a position 45 degrees from the plane of the door when in the closed position. See figure 4.

(3) The test described in paragraph (d)(2) of this section is to be conducted at three points over the width of the door opening, at distances of 1 foot (305 mm) from each end and the midpoint.

(4) When the test fixture of figure 4, prior to conduct of the test, interferes with the photoelectric sensor detection zone, the tests per paragraphs (d)(1) through (4) of this section may be conducted instead per paragraph (f)(4) of this section.

(e) *Ambient light test.* (1) A photoelectric sensor shall operate as specified in §1211.8 (a) and (c) when subjected to ambient light impinging at an angle of 15 to 20 degrees from the axis of the beam when tested according to paragraph (e)(2) and, if appropriate, paragraph (e)(3) of this section.

(2) To determine compliance with paragraph (e)(1) of this section, a 500 watt incandescent or equivalent minimum rated, 3600K or lower color rated flood lamp is to be energized from a 120-volt, 60-hertz source. The lamp is to be positioned 5 feet from the front of the receiver and aimed directly at the sensor at an angle of 15 to 20 degrees from the axis of the beam. See figure 5.

(3) If the photoelectric sensor uses a reflector, this test is to be repeated with the lamp aimed at the reflector.

Figure 5

Ambient Light Test

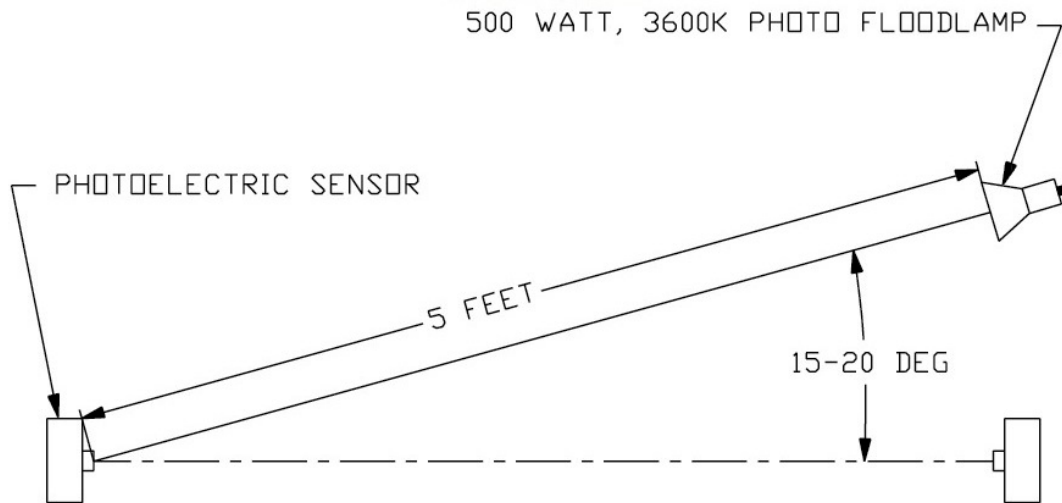
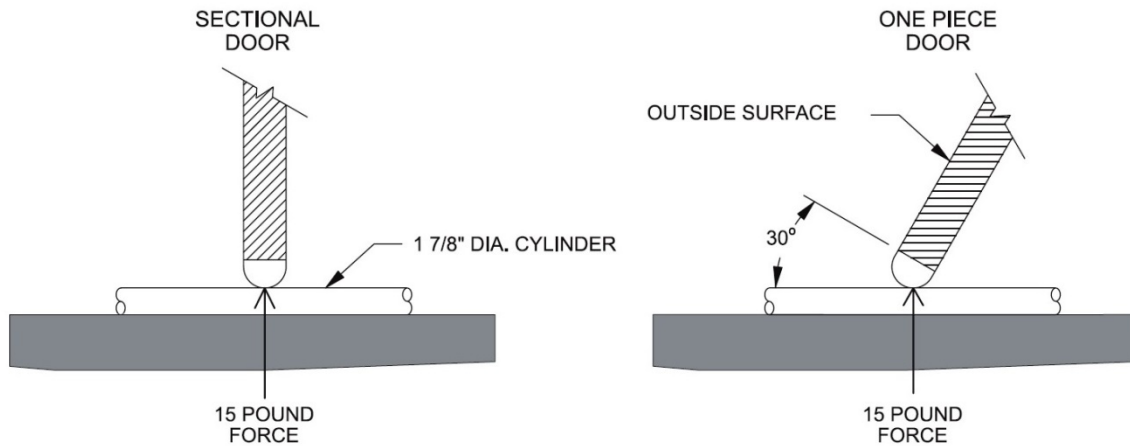


Figure 6

Edge Sensor Normal Operation Test



(f) *Photoelectric sensor vertical arrays* (1) A vertical array shall be tested as required by paragraphs (a) through (e) of this section, except as noted in paragraphs (f)(2) through (5) of this section.

(2) The array shall comply with the Normal Operation tests specified in paragraphs (a) through (c) of this section, with the solid obstruction placed on the floor.

In addition, the obstruction shall be placed at various locations over the height of the light curtain array in accordance with the light curtain coverage area per the manufacturer's instructions.

(3) In conducting the tests specified in paragraphs (a) through (c) of this section, when the product includes a blanking function whereby the light array is located directly in-line with the path of the door travel, and the door system is intended to detect any obstruction other than one in the "next" successive position that the door is programmed to travel, the obstruction is placed at any location other than the next successive door position expected by the system.

(4) The array shall comply with the Sensitivity Test specified in paragraph (d) of this section, except that the edge of the pendulum nearest to the array is to be located 2 in. (50.8 mm) from one side of the plane of the array, rather than directly above one photoelectric sensor pair. For vertical arrays, this test need only be conducted with the test pendulum at the vertical height indicated in paragraph (d)(2) of this section.

(5) When conducting the Ambient Light Test specified in paragraph (e) of this section, the position of the light source shall be aligned per paragraph (e)(2) of this section based on the axis of the lowest beam or detection zone. This arrangement shall be used to determine compliance with the requirements specified in paragraph (f)(2) (with the obstruction at the floor/ground level) and paragraph (f)(4) of this section, which are the only conditions for which the ambient light is required to be applied.

12. Amend § 1211.12 by:

a. Revising paragraph (a)(1);

b. Revising paragraph (c)(1) and (c)(2);

- c. Revising paragraph (d); and
- d. Revising Figure 7.

The revisions and addition read as follows:

§ 1211.12 Requirements for edge sensors.

(a) *Normal operation test.* (1) When installed on a representative residential door edge, an edge sensor shall actuate upon the application of a 15 pounds (66.7 N) or less force in the direction of the application. For an edge sensor intended to be used on a sectional door, the force is to be applied by the longitudinal edge of a 1⁷/₈ inch (47.6 mm) diameter cylinder placed across the switch so that the axis is perpendicular to the plane of the door. For an edge sensor intended to be used on a one piece door, the force is to be applied so that the axis is at an angle 30 degrees from the direction perpendicular to the plane of the door. See figure 6.

* * * * *

(c) * * *

(1) * * *

(i) Accelerated Aging Test of Gaskets, stated in paragraph (c)(3) of this section,

(ii) Compliance to the Standard for Gaskets and Seals, UL 157, fulfills this requirement, and,

(iii) Puncture Resistance Test, stated in paragraph (d) of this section.

(2) An elastomeric material used for a functional part that is exposed to outdoor weather conditions when the door is in the closed position shall have physical properties as specified in table 1 after being conditioned in accordance with the Ultraviolet Light Exposure Test described in the Standard for Safety for Polymeric Materials—Use in

Electrical Equipment Evaluations, UL 746C, Sixth Edition, dated September 10, 2004.

This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 U.S.C. 552(a) and 1 CFR part 51. Copies may be obtained online at:

<http://ulstandards.ul.com/>. Copies may be inspected at the Consumer Product Safety Commission, Office of the Secretary, 4330 East West Highway, Bethesda, MD 20814 or at the National Archives and Records Administration (NARA). For information on the availability of this material at NARA, call 202-741-6030, or go to:

http://www.archives.gov/federal_register/code_of_federal_regulations/ibr_locations.html

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* * * * *

(d) *Puncture resistance test.* (1) After being subjected to the tests described in paragraph (d)(2) or (d)(3) of this section, an elastomeric material that is a functional part of an edge sensor shall:

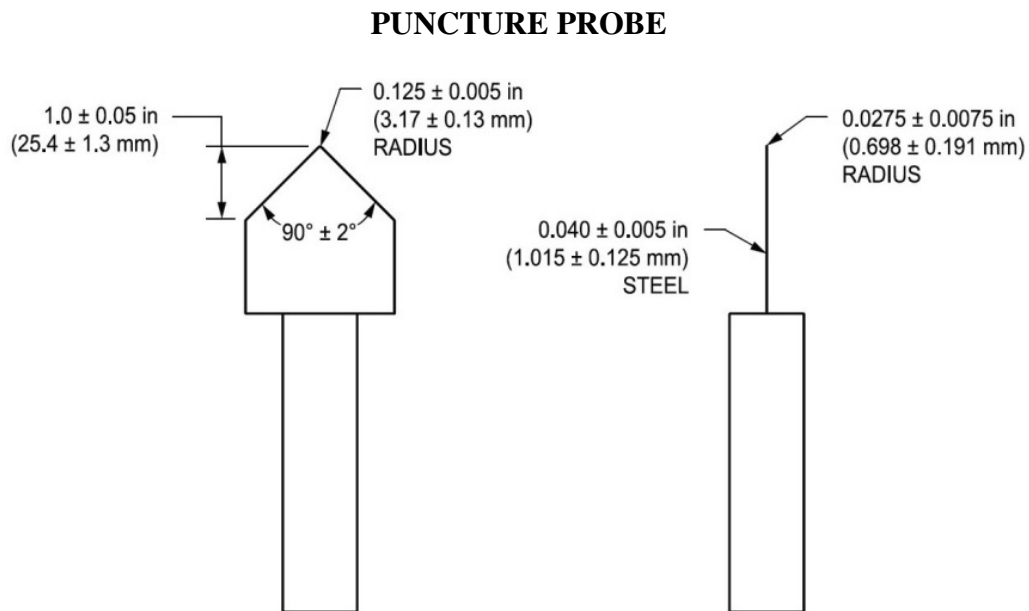
(i) Not be damaged in a manner that would adversely affect the intended operation of the edge sensor, and

(ii) Maintain enclosure integrity if it serves to reduce the likelihood of contamination of electrical contacts.

(2) For a vertically moving door, a sample of the edge sensor is to be installed in the intended manner on a representative door edge. The probe described in figure 7 is to be applied with a 20 pound-force (89N) to any point on the sensor that is 3 inches (76 mm) or less above the floor is to be applied in the direction specified in the Edge Sensor Normal Operation Test, figure 6. The test is to be repeated on three locations on each surface of the sensor being tested.

(3) For horizontally sliding doors, sample of the edge sensor is to be installed in the intended manner on a representative door edge. The probe described in figure 7 is to be applied with a 20 lbf (89 N) to any point on the sensor when the door is within 3 in (76 mm) of its fully open position and within 3 in (76 mm) of any stationary wall. For each type of door, the force is to be applied in the direction specified in the Edge Sensor Normal Operation Test, figure 6. The test is to be repeated on three locations on each surface of the sensor being tested.

Figure 7



13. Revise § 1211.13 and add figures 8 through 10 to read as follows:

1211.13 Inherent force activated secondary door sensors.

(a) *General.* (1) A force activated door sensor of a door system installed according to the installation instructions shall actuate in accordance with paragraphs (b) through (f)

of this section, which are to be conducted in sequence on a single system sample, except for the separate test sequences of paragraph (a)(2) of this section.

(2) The system shall actuate with the maximum and minimum specifications of the door, operator, and hardware.

(3) Tests conducted per paragraphs (b) through (f) of this section shall be performed with the force exerted by a drive adjusted to its highest value if the force can be adjusted by the user during use or user maintenance.

(4) The test cylinder referred to in paragraph (b)(7) of this section shall be a 1-7/8 in (47.6 mm) diameter cylinder placed under the door so that the axis is perpendicular to the plane of the door. See Figure 6.

(5) The measuring device referred to in paragraph (b)(1) of this section shall:

(i) Have an accuracy of +/- 1%;

(ii) Have a rise and fall time not exceeding 5 ms;

(iii) Have the equivalence of a spring constant of 2855 lb/in +/- 285 lb/in (500 N/mm, +/- 50 N/mm);

(iv) Be placed on a rigid, level surface; and

(v) Have a rigid plate with a diameter of 3.1 in (80 mm).

(vi) See paragraph (a)(6) of this section for test equipment alternatives for force measurements at 1 ft (305 mm) or greater for the tests conducted per paragraphs (b) and (d) of this section.

(6) With regard to the alternative test equipment referred to in paragraph (a)(5)(vi) of this section, the test device described in paragraph (b)(5) of this section for force measurements at 1 foot (305 mm) or greater shall be:

(i) A spring constant means such as specified in paragraph (a)(5) of this section;

(ii) A gravity based weight displacing means that suspends a weight off its supporting surface upon exceeding 15 lbf (67 N) such as the example shown in Figures 8 through 10 if the equipment described in paragraph (a)(5) of this section is applied before the tests specified in paragraph (c) of this section and after the tests specified in paragraph (d) of this section at the 1 ft (305 mm) height specified in paragraph (b)(6) of this section; or

(iii) The equivalent requirements of paragraphs (a)(6)(i) or (a)(6)(ii) of this section.

(7) The cycles specified in paragraph (d) of this section are not required to be consecutive. Continuous operation of the motor without cooling is not required.

Figure 8

Example Test Apparatus for Measurements

At 12 Inches or Greater

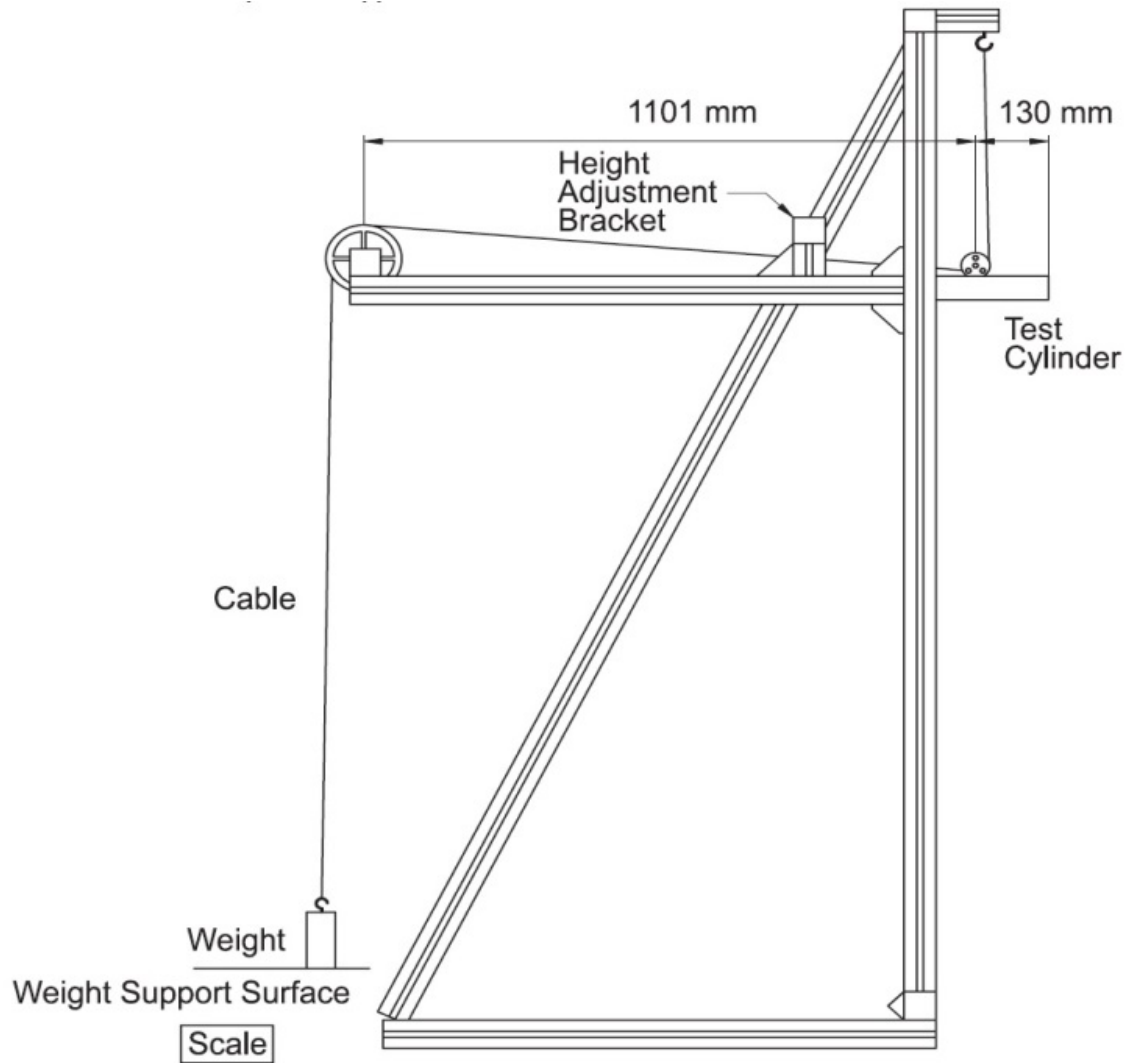


Figure 9

Example Test Apparatus for Measurements

At 12 Inches or Greater

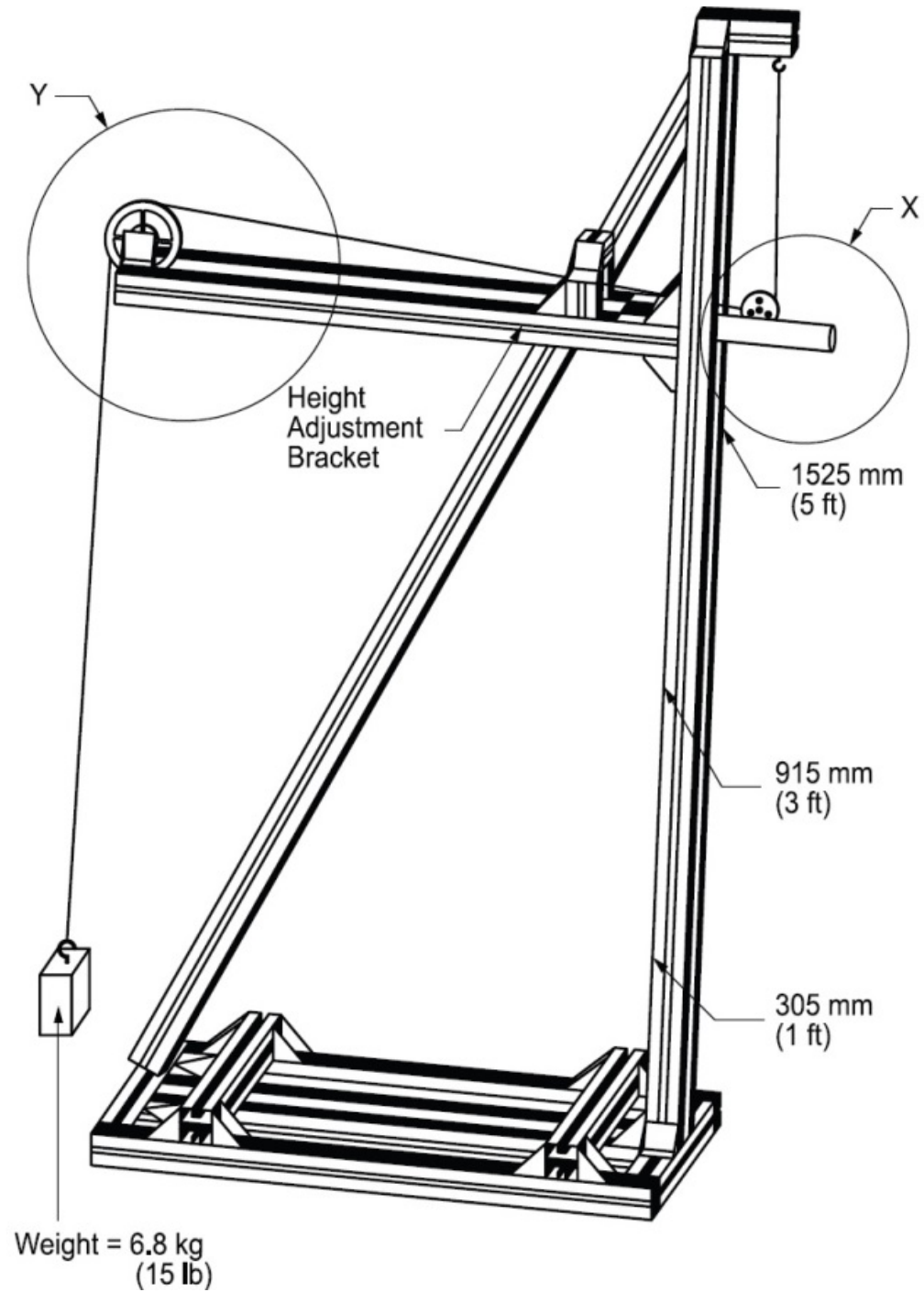
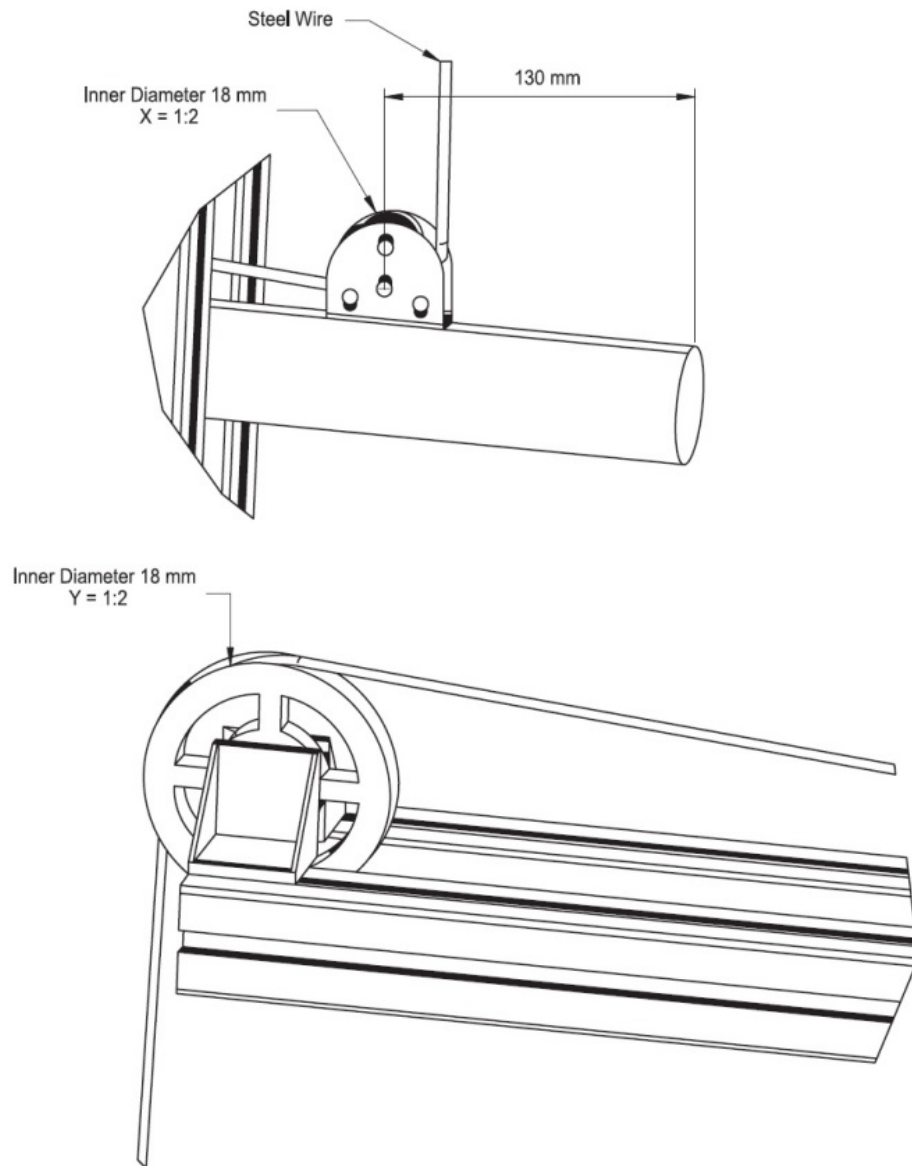


Figure 10

Example Test Apparatus for Measurements

At 12 Inches or Greater



(b) *Closing force test.* (1) The door shall stop and reverse within 2 seconds after contacting the obstruction. The door shall apply the following forces at the locations noted in paragraph (b)(2) of this section:

(i) 90 lbf (400 N) or less average during the first 0.75 seconds after 15 lbf (67 N) is exceeded from initial impact, and

(ii) 15 lbf (67 N) or less from 0.75 seconds after 15 lbf (67 N) is exceeded from initial impact until the door reverses.

(2) The test referred to in paragraph (b)(1) of this section shall be conducted at the following test height and locations along the edge of the door:

(i) The center point, at a height of 2 in (50.8) from the floor;

(ii) Within 1 ft (305 mm) of the end of the door, at a height of 2 in (50.8) from the floor; and

(iii) Within 1 ft (305 mm) of the other end of the door, at a height of 2 in (50.8) from the floor.

(3) The maximum force specified in paragraph (b)(1) of this section shall be tested by the door applying a force against the longitudinal edge of the test cylinder described in paragraph (a)(4) of this section.

(4) The equipment used to measure force for the test described in paragraph (b)(1) of this section shall be in accordance with the requirements of paragraph (a)(5) of this section.

(5) The door shall stop and reverse within 2 seconds after contacting the obstruction. The door shall apply a load of 15 lbf (67 N) or less in the closing direction along the path of door travel at the locations noted in paragraph (b)(6) of this section.

(6) The test described in paragraph (b)(5) of this section shall be conducted at the following points along the edge of the door:

(i) At the center at heights of 1 ft, 3 ft, and 5 ft (305 mm, 914 mm and 1.52 m) from the floor;

(ii) Within 1 ft (305 mm) of the end of the door, at heights of 1 ft, 3 ft, and 5 ft from the floor; and

(iii) Within 1 ft of the other end of the door at heights of 1 ft, 3 ft, and 5 ft from the floor.

(7) The maximum force described in paragraph (b)(5) of this section shall be tested by the door applying a force against the longitudinal edge of the test cylinder as described in paragraph (a)(4) of this section.

(8) The equipment used to measure forces for the test described in paragraph (b)(1) of this section shall be in accordance with the requirements of paragraph (a)(5) or (a)(6) of this section.

(c) *Opening force test.* (1) The door shall stop within 2 seconds after a weight of 44 lb (20 kg) is applied to the door.

(2) The test described in paragraph (c)(1) of this section shall be conducted with the door starting from the fully closed position and at heights of approximately 1 ft, 3 ft, and 5 ft (305 mm, 914 mm and 1.52 m) from the floor.

(3) Test weight(s) shall be applied to sections of the door that are vertical in the initial stopped position for each test height prior to operator activation.

(d) *Fifty cycle test.* (1) With the door(s) at the test point(s) determined by the tests described in paragraphs (b) and (c) of this section to be most severe with respect to both reversal time and force, the door system shall function as intended after 50 cycles of

operation. After the last cycle, the system shall complete one additional cycle of opening the door to its fully open condition and closing the door to its fully closed position.

(2) The tests described in paragraphs (b) and (c) of this section shall be repeated upon completion of cycling test.

(e) *Adjustment of door weight.* At the point determined by the test described in paragraph (b)(5) of this section to be the most severe, weight is to be added to the door in 5.0 pound (2.26 Kg) increments and the tests of paragraphs (b) and (c) of this section are to be repeated until a total of 15.0 pounds (66.72 N) has been added to the door. Before performing each test cycle, the door is to be cycled 2 times to update the profile. Similarly, starting from normal weight plus 15.0 pounds, the tests described in paragraphs (b) and (c) of this section are to be repeated by subtracting weight in 5.0 pound increments until a total of 15.0 pounds has been subtracted from the door.

(f) *Obstruction test.* For a door traveling in the downward direction, when an inherent secondary entrapment protection device senses an obstruction and initiates a reversal, any control activation shall not move the door downward until the operator reverses the door a minimum of 2 inches (50.8 mm). The test is to be performed as described in § 1211.7(b)(3)(iii). The system may be initially manually re-profiled for the purpose of this test.

14. Amend § 1211.14 by:

a. Redesignating §§ 1211.14 through 1211.17 as §§ 1211.16 through 1211.19 respectively; and

b. Adding new § 1211.14 to read as follows:

§ 1211.14 Unattended operation requirements.

(a) *General requirements.* (1) A residential garage door operator or system may permit unattended operation to close a garage door, provided the operator system complies with the additional requirements of paragraphs (b) through (e) of this section.

(2) Unattended operation shall not be permitted on one-piece garage doors or swinging garage doors. An operator intended for use with both sectional doors and one-piece or swinging doors that have an unattended operation close feature shall identify that the unattended operation closing feature is only permitted to be enabled when installed with a sectional door by complying with:

- (i) The installation instructions stated in § 1211.16(b)(1)(ii);
- (ii) The markings specified in § 1211.17(h); and
- (iii) The carton markings specified in § 1211.18(m) when the carton references the unattended operation close feature.

(b) *Operator system.* The operator system shall require one or more intentional actions to enable unattended operation, such as setting a power head switch or wall-control switch. For an accessory requiring installation and set-up in order to enable unattended operation, the installation and set-up may be considered satisfying this requirement.

(c) *Alarm signal.* (1) The operator system shall provide an audible and visual alarm signal.

(2) The alarm shall signal for a minimum of 5 seconds before any unattended closing door movement.

(3) The audible signal shall be heard within the confines of a garage. The audio alarm signals for the alarm specified in paragraph (c)(1) of this section shall be generated

by devices such as bells, horns, sirens, or buzzers. The signal shall have a frequency in the range of 700 to 3400 Hz, either a cycle of the sound level pulsations of 4 to 5 per second or one continuous tone, a sound level at least 45 dB 10 ft (305 cm) in front of the device over the voltage range of operation.

(4) The visual alarm signal described in paragraph (c)(1) of this section shall be visible within the confines of a garage using a flashing light bulb of at least 40 watt incandescent or 360 lumens.

(d) *Controls.* (1) During the pre-motion signaling period defined in paragraph (c)(2) of this section, activation of any user door control (*e.g.*, wall control, wireless remote, keypad) shall prevent the pending unattended door movement. Door movement resulting from activation of a user door control is not prohibited.

(2) Upon activation of a user door control during unattended door movement, the door shall stop, and may reverse the door on the closing cycle. On the opening cycle, activation of a user door control shall stop the door but not reverse it.

(3) If an unattended door travelling in the closing direction is stopped and reversed by an entrapment protection device, the operator system shall be permitted one additional unattended operation attempt to close the door.

(4) After two attempts per paragraph (d)(3) of this section, the operator system shall suspend unattended operation. The operator system shall require a renewed, intended input, via user door control (*e.g.*, wall control wireless remote, keypad) other than the unattended activation device, prior to re-enabling unattended operation.

(e) *Entrapment protection.* For a moving door, entrapment protection shall comply with §§ 1211.7 and 1211.8.

15. Add new § 1211.15 to read as follows:

§ 1211.15 Vertically moving combination rigid one-piece overhead residential garage door and operator system.

(a) A vertically moving combination rigid one-piece overhead residential garage door and operator system shall comply with the applicable residential garage door operator requirements in this standard and shall additionally comply with the following:

(1) The speed of the door edge during the opening or closing motion shall not exceed 6 in (152 mm) per second.

(2) The system shall be supplied with two additional independent secondary entrapment protection devices complying with Secondary Entrapment Protection, § 1211.8. When photoelectric sensors are used, a minimum of two sensors in addition to a third secondary device shall be supplied. The instructions shall state that one photoelectric sensor shall be positioned to comply with § 1211.11 and the other(s) shall be positioned on the left and right sides of the door to detect solid objects that would be within the space where the door moves as it opens or closes.

(3) A means to manually detach both door operators from the door shall be provided. For systems where the mechanical drive is located on a wall adjacent to the door, the manual detachment means is not required to comply with § 1211.9 (a). Instead, the manual detachment means shall be located 5 ft (1.52 m) above the floor, shall not require a torque of more than 5 ft-lb (6.78 N-m) to initiate disconnection when the door is obstructed, and shall be clearly marked with operating instructions adjacent to the mechanism. The gripping surface (handle) shall be colored red and shall be distinguishable from the rest of the operator. The marking which includes instructions

for detaching the operator shall be provided in accordance with § 1211.17 (a), § 1211.17 (b), and § 1211.17 (j) as applicable.

(4) A means (interlock) shall be supplied to de-energize the operator whenever the operator is manually detached from the door.

(5) A means (interlock) shall be supplied to de-energize the operator whenever an operable window or access (service) door that is mounted in the garage door is opened perpendicular to the surface of the garage door.

(6) The door shall not move outward from the exterior wall surface during the opening or closing cycle.

(7) The moving parts of the door or door system (mounting hardware, track assembly, and components that make up the door) shall be guarded.

(8) A horizontal track assembly, including installation hardware, shall support a dead load equal to the door weight when the door is in the horizontal position.

(9) Instructions for the installation of operable windows and access (service) doors and the interlocks specified in paragraph (a)(5) of this section shall be supplied with the operator.

(b) [Reserved]

16. Revise newly designated § 1211.16 to read as follows:

§ 1211.16 Instruction manual.

(a) *General.* (1) A residential garage door operator shall be provided with an instruction manual. The instruction manual shall give complete instructions for the installation, operation, and user maintenance of the operator.

(2) Instructions that clearly detail installation and adjustment procedures required to effect proper operation of the safety means provided shall be provided with each door operator.

(3) A residential garage door or door operator shall be provided with complete and specific instructions for the correct adjustment of the control mechanism and the need for periodic checking and, if needed, adjustment of the control mechanism so as to maintain satisfactory operation of the door.

(4) The instruction manual shall include the important instructions specified in paragraphs (b)(1) and (b)(2) of this section. All required text shall be legible and contrast with the background. Upper case letters of required text shall be no less than $\frac{5}{64}$ inch (2.0 mm) high and lower case letters shall be no less than $\frac{1}{16}$ inch (1.6 mm) high. Heading such as “Important Installation Instructions,” “Important Safety Instructions,” “Save These Instructions” and the words “Warning—To reduce the risk of severe injury or death to persons:” shall be in letters no less than $\frac{3}{16}$ inch (4.8 mm) high.

(5) The instructions listed in paragraphs (b)(1) and (b)(2) of this section shall be in the exact words specified or shall be in equally definitive terminology to those specified. No substitutes shall be used for the word “Warning.” The items may be numbered. The first and last items specified in paragraph (b)(2) of this section shall be first and last respectively. Other important and precautionary items considered appropriate by the manufacturer may be inserted.

(6) The instructions listed in paragraph (b)(1) of this section shall be located immediately prior to the installation instructions. The instructions listed in paragraph (b)(2) of this section shall be located immediately prior to user operation and

maintenance instructions. In each case, the instructions shall be separate in format from other detailed instructions related to installation, operation and maintenance of the operator. All instructions, except installation instructions, shall be a permanent part of the manual(s).

(7) For an operator or system provided with an external entrapment protection device requiring a non-rechargeable battery, instructions shall be provided with the operator and/or the device for:

- (i) The rating, size, number, and type of battery(s) to be used, and
- (ii) The proper insertion, polarity, orientation, and replacement of the battery(s).

(8) For an operator or system provided with an external entrapment protection device or system utilizing wireless control, instructions shall be provided with the operator and/or the device for:

- (i) The proper method of configuring and initializing the wireless communication link between device and operator,
- (ii) The proper orientation, antenna positioning, and mounting location with regard to maintaining communication link between device and operator,
- (iii) The maximum range at which the wireless device will operate, and
- (iv) The proper location of the device where the transmission of the signals are not obstructed or impeded by building structures, natural landscaping or similar obstruction.

(9) When provided with a detachable supply cord, the operator instructions shall contain complete details concerning proper selection of the power supply cord replacement.

(10) The installation, operation, and maintenance instructions may be provided in electronic read-only media format only, such as CD-ROM, USB flash drive, or company website, if the following instructions are additionally provided with the operator in an instruction sheet, manual, booklet, or similar printed material:

(i) Residential garage doors and door operators, instructions of this section, as applicable;

(11) The printed instruction material referenced in this section shall contain detailed instructions of how to obtain a printed copy of the material contained in electronic format.

(12) All printed instruction material referenced in this section shall also be provided in the electronic read-only media format.

(13) Instructions of a combination sectional overhead garage door operator system shall specify:

(i) The operator by manufacturer and model,

(ii) The door(s) by manufacturer(s), model(s), and maximum and minimum door width and height required for compliance to § 1211.6 (a) and (c), and

(iii) Hardware required for compliance to § 1211.6 (a) and (c).

(14) Installation and maintenance instructions of a combination sectional overhead garage door operator system shall indicate how to properly counter-balance the door.

(b) *Specific required instructions for residential garage door operators and systems.*

(1)(i) The Installation Instructions shall include the following instructions:

Important Installation Instructions

Warning—To reduce the risk of severe injury or death:

1. Read and follow all Installation Instructions.
 2. Install only a properly balanced garage door. An improperly balanced door could cause severe injury. Have a qualified service person make repairs to cables, spring assemblies and other hardware before installing opener.
 3. Remove all ropes and remove or make inoperative all locks connected to the garage door before installing opener.
 4. Where possible, install door opener 7 feet or more above the floor. For products requiring an emergency release, mount the emergency release within reach, but at least 6 feet above the floor and avoiding contact with vehicles to avoid accidental release.
 5. Do not connect opener to source of power until instructed to do so.
 6. Locate control button: (a) within sight of door, (b) at a minimum height of 5 feet so small children cannot reach it, and (c) away from all moving parts of the door.
 7. Install Entrapment Warning Label next to the control button in a prominent location. Install the Emergency Release Marking. Attach the marking on or next to the emergency release.
 8. After installing opener, the door must reverse when it contacts a 1½ inch high object (or a 2 by 4 board laid flat) on the floor.
 9. For horizontally sliding doors, Item 2 shall be replaced with “Have a qualified service person make repairs and hardware adjustments before installing the opener”.
- (ii) In accordance with § 1211.14 (a)(2), the installation instructions in paragraph (b)(1) of this section for a residential garage door operator intended for use with both sectional and one-piece door that has an unattended operation close feature shall comply with paragraph (b)(1) of this section and include:

“WARNING: To reduce the risk of injury to persons – Only enable [+] feature when installed with a sectional door,” where + is the unattended operation function.

Exception: For operators that automatically sense one piece door operation, this warning is not required.

(iii) For residential garage door operators that do not have permanent connection of the wiring system, the installation instructions shall include the following or equivalent text: "This operator not equipped for permanent wiring. Contact licensed electrician to install a suitable receptacle if one is not available."

(2) The User Instructions shall include the following instructions:

Important Safety Instructions

Warning—To reduce the risk of severe injury or death:

1. Read and follow all instructions.
2. Never let children operate, or play with door controls. Keep the remote control away from children.
3. Always keep the moving door in sight and away from people and objects until it is completely closed. No one should cross the path of the moving door.
4. NEVER GO UNDER A STOPPED PARTIALLY OPEN DOOR.
5. Test door opener monthly. The garage door MUST reverse on contact with a 1½ inch object (or a 2 by 4 board laid flat) on the floor. After adjusting either the force or the limit of travel, retest the door opener. Failure to adjust the opener properly may cause severe injury or death.

6. For products requiring an emergency release, if possible, use the emergency release only when the door is closed. Use caution when using this release with the door open. Weak or broken springs may allow the door to fall rapidly, causing injury or death.

7. Keep garage door properly balanced. See users's manual. An improperly balanced door could cause severe injury or death. Have a qualified service person make repairs to cables, spring assemblies and other hardware.

8. For operator systems equipped with an unattended operation feature, the following statement shall be included: "This operator system is equipped with an unattended operation feature. The door could move unexpectedly. **NO ONE SHOULD CROSS THE PATH OF THE MOVING DOOR.**"

9. Save these Instructions.

10. For horizontally moving doors, Item 4 shall be replaced with "NEVER GO THROUGH A STOPPED, PARTIALLY OPEN DOOR".

11. For horizontally moving doors, Item 6 is not required.

12. For horizontally moving doors, Item 7 shall be replaced with "Have a qualified service person make repairs and hardware adjustments before installing the opener."

13. The installation instructions provided with a combination rigid one-piece overhead residential garage door and operator system shall specify the locations where attachments to the horizontal track shall be made for the purpose of supporting the track.

17. Amend newly designated § 1211.17 by:

- a. Adding paragraph (g)(2)(v);
- b. Redesignating paragraphs (h) and (g) as paragraphs (i) and (j) respectively;
- c. Adding new paragraph (h); and

d. Adding new paragraphs (k) through (m).

The revisions and additions read as follows:

§ 1211.17 Field-installed labels.

* * * * *

(g) * * *

(2) * * *

(v) For products equipped with an unattended operation feature, the instructions shall include the following: "This operator system is equipped with an unattended operation feature. The door could move unexpectedly."

* * * * *

(h) The instructions of a residential garage door operator intended for use with both sectional doors and either one-piece or swinging doors and are provided with an unattended operation feature shall comply with paragraph (g) of this section and include the following under the avoidance statements of paragraph (g)(2) of this section:

“Only enable [+] feature when installed with a sectional door.”, or equivalent,
where + is the unattended operation closing function.

For operators that automatically sense one piece door operation, this warning is not required.

(i) The lettering of the message panel described in paragraph (g) of this section shall be black on a white background and shall be sans serif letters in combinations of upper case and lower case letters. The upper case letters of the Possible Risk and Consequence Statements and Avoidance Statements shall be $\frac{1}{8}$ inch (3.18 mm) high minimum. The lettering of the Possible Risk and Consequence Statement shall be in italics, underlined,

bold, or the like, and shall be double spaced from the Avoidance Statements. All other instructions shall be in letters less prominent than the Possible Risk and Consequence Statements and shall be separated with at least a single space between individual instructions.

(j) Except for door operators complying with §1211.9(b), a residential garage door operator shall be provided with a cautionary marking attached to or adjacent at all times to the means provided to detach the operator from the garage door. The marking shall include the following statement or the equivalent: “If the door becomes obstructed, detach door from operator as follows: (The method to detach the operator shall be shown on the marking.)”

(k) Both the operator and the door that comprise a combination sectional overhead garage door operator system shall be provided with permanent labels. The labels shall contain the following statement or the equivalent: “WARNING: THIS OPERATOR AND DOOR FUNCTION AS A SYSTEM. IF EITHER THE DOOR OR THE HARDWARE MUST BE REPLACED, THE REPLACEMENT DOOR OR HARDWARE MUST BE IDENTICAL TO THE ORIGINAL EQUIPMENT WITH RESPECT TO MANUFACTURER AND MODEL TO MAINTAIN THE SAFETY OF THE SYSTEM. SEE INSTRUCTION MANUAL.” The marking shall be visible to the user after installation without the need to remove any covers.

(l) A label specified in paragraph (m) of this section when intended to be affixed during installation shall:

(1) Be provided with the operator or door assembly; and

(2) Have installation instructions of how and where to install the label so that it is visible to the user after installation.

(m) The operator of a combination sectional overhead garage door operator system shall be provided with a permanent marking that contains the following statement or the equivalent: "NO USER SERVICEABLE PARTS INSIDE."

18. Amend newly designated § 1211.18 by:

- a. Revising paragraph (b)(3)
- b. Redesignating paragraphs (f) through (k) as paragraphs (g) through (l);
- c. Adding new paragraph (f); and
- d. Adding new paragraphs (m) and (n).

The revisions and additions read as follows:

§ 1211.18 UL marking requirements.

* * * * *

(b) * * *

(3) The voltage, frequency, and input in amperes, VA, or watts. The ampere or VA rating shall be included unless the full-load power factor is 80 percent or more, or, for a cord-connected appliance, unless the rating is 50 W or less. The number of phases shall be indicated when an appliance is for use on a polyphase circuit; and

* * * * *

(c) The date code repetition cycle shall not be less than 20 years.

* * * * *

(f) Exception No 3: The input in amperes or watts may be shown as part of the motor nameplate, if the appliance employs a single motor, the nameplate is readily visible after the appliance has been installed.

(g) If a manufacturer produces or assembles operators at more than one factory, each finished operator shall have a distinctive marking, which may be in code, to identify it as the product of a particular factory.

(h) The carton and the instruction manual for an operator shall be marked with the word “WARNING” and the following or the equivalent: “To reduce the risk of injury to persons—Use this operator only with (a) ____ door(s).”

(i) For products with user adjustments, a residential garage door operator shall be marked with the word “WARNING” and the following or equivalent, “Risk of entrapment. After adjusting either the force or limits of travel adjustments, insure that the door reverses on a 1½ inch (or a 2 by 4 board laid flat) high obstruction on the floor.” This marking shall be located where visible to the user when making the adjustments.

(j) For a separately supplied accessory, including external entrapment protection device, the instructions, packaging, or marking on the product shall indicate the accessory manufacturer's name and or model number and the type of appliance or appliances with which it is intended to be used—such as a residential garage door operator. Additionally, installation instructions, accompanying specifications sheet, or packaging of the accessory shall identify the appliance or appliances with which it is intended to be used by specifying the manufacturer's name and catalog or model number or by any other positive means to serve the identification purpose.

(k) An appliance provided with terminals or connectors for connection of a separately supplied accessory, such as an external entrapment protection device or system, shall be marked to identify the accessory intended to be connected to the terminals or connectors. The accessory identification shall be by manufacturer's name and catalog or model number or other means to allow for the identification of accessories intended for use with the appliance.

(l) With reference to paragraph (k) of this section, instructions for installing a separately supplied accessory shall be provided. A statement shall be included in the instructions warning the user that the appliance must be disconnected from the source of supply before attempting the installation of the accessory.

(m) A residential garage door operator intended for use with both sectional and one-piece or swinging door that has an unattended operation close feature indicating the function in the carton markings shall include the following carton marking:

“WARNING: To reduce the risk of injury to persons – Only enable [+] feature when installed with sectional door,” where + is the unattended operation closing function.

Exception: For operators that automatically sense one piece door operation, this warning is not required.

(n) A residential garage door operator is not required to be provided with permanent wiring systems when marked with the following or equivalent text: “This operator not equipped for permanent wiring. Contact licensed electrician to install a suitable receptacle if one is not available.” This marking is to be placed adjacent to the power cord entry.

19. Amend newly designated § 1211.19 by revising paragraph (b) to read as follows:

§ 1211.19 Statutory labeling requirement.

* * * * *

(b) The display of the UL logo or listing mark, and compliance with the date marking requirements stated in § 1211.18 of this subpart, on both the container and the system, shall satisfy the requirements of this subpart.

Dated: _____.

Todd A. Stevenson,
Secretary,
Consumer Product Safety Commission



UNITED STATES
CONSUMER PRODUCT SAFETY COMMISSION
4330 EAST WEST HIGHWAY
BETHESDA, MD 20814

This document has been electronically
approved and signed.

Memorandum

Date: August 11, 2015

TO : The Commission
Todd Stevenson, Secretary

THROUGH: Patricia H. Adkins, Executive Director
Stephanie Tsacoumis, General Counsel
Robert J. Howell, Deputy Executive Director for Safety Operations

FROM : George Borlase, Ph.D., P.E.
Assistant Executive Director
Office of Hazard Identification and Reduction

Vincent J. Amodeo, Mechanical Engineer
Directorate of Engineering Sciences
Office of Hazard Identification and Reduction

SUBJECT : Revision of Garage Door Operator Standard, 16 C.F.R. part 1211

I. Introduction

This memorandum provides background on the U.S. Consumer Product Safety Commission's ("CPSC" or "Commission") mandatory rule for garage door operators (16 C.F.R. part 1211) and recommends that the Commission publish a notice of proposed rulemaking ("NPR") to amend the rule to reflect the most recent revisions to the voluntary standard upon which the rule is based.

II. Background

In the Consumer Product Safety Improvement Act of 1990 ("Improvement Act") Congress mandated that automatic residential garage door operators ("GDOs") manufactured on or after January 1, 1991 conform to the entrapment protection requirements of the 1988 version of a voluntary standard issued by Underwriters Laboratories Inc. ("UL"), *UL 325 Standard for Safety for Door, Drapery, Gate, Louver, and Window Operators and Systems*. A copy of the Improvement Act is provided at Tab A. On June 19, 1991, the Commission issued the GDO rule (16 C.F.R. part 1211). The Commission last updated the rule in 2007.

The Improvement Act requires UL to notify the Commission of proposed revisions to the entrapment protection provisions in UL 325. Those revisions must be incorporated into the Commission rule, unless the Commission notifies UL within 30 days that the Commission has determined the revisions do not carry out the purposes of the Improvement Act.

III. Discussion

A. The Current Mandatory Rule

The Commission's rule (16 C.F.R. part 1211) primarily requires that all residential GDOs sold in the United States have an inherent reversing mechanism capable of reversing the motion of a moving garage door within 2 seconds to reduce the risk of entrapment. This system is known as an inherent system because it is physically located within the housing of the GDO. In addition, the rule requires that the operator shall be provided with a means for connection of an external entrapment-sensing device. Most GDOs on the market today use an electric eye as the external entrapment-sensing device. The purpose of this device is to monitor the area under the garage door for people who might become entrapped by the garage door. The standard also allows a device known as a door edge sensor, similar to the sensors used on elevator doors, or any other device that provides equivalent protection. These devices are known as external entrapment-sensing devices because they are located outside the housing of the GDO.

In addition, the rule requires all GDOs to have a device referred to as a 30-second clock. The 30-second clock is a back-up device that reopens the door if the door cannot close completely within 30 seconds, as would be the case when a person becomes entrapped by the door. The 30-second clock is a backup to the primary, 2-second inherent entrapment system.

The rule also requires that every GDO be equipped with a "means to manually detach the door operator from the door." This requirement enables a person to detach the operator from the door quickly in the event a person becomes entrapped under the door. For most garage doors, the means of detachment is actuated by pulling on a red handle that hangs below the GDO.

The mandatory rule was last updated by the Commission in 2007 to reflect changes made to the entrapment protection provisions of UL 325 up to that time.

B. Recent Revisions to UL 325 and Previous Commission Action

Since the last update to the current mandatory rule in 2007, there have been 11 published revisions to the voluntary standard, UL 325, including the publication of the 6th Edition in October 2013, and a revision to the 6th edition in June 2015

On November 4, 2013, UL notified the CPSC that UL had revised the entrapment protection requirements of UL 325, and published a 6th edition of that standard on October 14, 2013. On June 4, 2015, UL notified the Commission that UL published a revision to UL 325 6th Edition on May 25, 2015. A copy of the notifications is attached at Tabs B and C, respectively. UL did not formally notify CPSC of all the revisions made to UL 325 between February 2006 and November 2013.

On November 27, 2013, and on June 24, 2015 CPSC staff submitted briefing packages to the Commission explaining the latest revisions to the UL standard and the basis for staff's conclusion that the revisions enhance entrapment protections and are likely to reduce the possibility of children becoming entrapped by partially open garage doors. Staff recommended

that the Commission incorporate the applicable changes to UL 325 into the mandatory rule for GDOs, in accordance with the procedure provided in the Improvement Act. On December 3, 2013, and on June 30, 2015, the Commission voted to approve staff's recommendation. (See records of the decisions at: Draft RCA Nov 27, 2013 and Draft RCA Jun 30, 2015)

In accordance with the Commission's vote, staff is now presenting the Commission with a notice of proposed rulemaking ("NPR") that would revise the mandatory GDO rule at 16 C.F.R. part 1211 to include the revisions embodied in the First Revision of the 6th edition of UL 325. A draft *Federal Register* notice showing the changes to the codified text is provided at Tab E

Since the update of the rule in 2007, UL made several substantive changes to the entrapment protection requirements of UL 325. These changes allow for new technological advances and do not modify the requirements for GDOs. The sections of the rule that have been modified to address the new UL requirements, as shown in Tab E, are noted in parentheses in the summary of changes below.

UL added requirements for GDOs that open horizontally, necessitating differentiation between requirements for horizontal- and vertical-opening GDOs (§1211.6(d)). Entrapment protection requirements are similar for vertically and horizontally opening GDOs. UL added and clarified test requirements to address entrapment protection for either vertical or horizontal movement and clarified wording throughout the standard, replacing "downward movement" with "closing movement," and adding "vertically" or "horizontally" moving, where appropriate. Additionally, UL clarified secondary entrapment protection requirements for vertically and horizontally opening GDOs (§1211.8).

UL added requirements for combination sectional overhead GDOs, which are a door and operator combination, in which the door and hardware are an integral part of the operator, and in which the operator does not exert a driving force on the door in the closing direction (§1211.6). Under UL's revised provisions, this type of GDO must comply with the common requirements for GDOs, plus they must comply with the requirements in ANSI/DASMA 102-2004, *Specifications for Sectional Overhead Type Doors* (§1211.6(c)). Additionally, the instructions for combination sectional overhead GDOs must specify: (1) the operator by manufacturer and model; (2) the doors by manufacturer, model, and maximum and minimum door width and height required for compliance to the entrapment protection requirements; (3) the hardware required to meet the entrapment protection requirements (§1211.16(a)(13)); and (4) how to counterbalance the door properly (§1211.16(a)(14)). Finally, combination sectional overhead GDOs must be provided with permanent labels that contain specific warnings (§1211.17(k)) and markings (§1211.17 (m)).

UL added requirements for unattended operation of GDOs, which is permitted if additional safety features are provided (§1211.14). Under UL's revised provisions, unattended operation is allowed only if proper installation instructions and markings are provided. Unattended GDOs shall require one or more intentional actions to function and shall require an audible and visual alarm that must signal for 5 seconds before door movement. Unattended

operation is not permitted on one-piece or swinging garage doors. The word “bulb” is changed to “light” to address newer technologies that may use LEDs that may not be considered “bulbs” and clarifies that the visual or audio alarm during unattended operation does not require monitoring.

UL added requirements for combination rigid, one-piece overhead GDOs, which are a door and operator combination in which the door is constructed of one rigid piece (§1211.15). Under UL’s revised provisions, this type of GDO must comply with the common requirements for GDOs, plus, the speed of the door edge during movement must not exceed 6 inches per second. This type of GDO also must provide two additional independent secondary entrapment-protection devices, including a minimum of two sensors. Additionally, these GDOs must provide a means to detach mechanically both door operators from the door and shall have an interlock to de-energize the operator when detached. Finally, the installation instructions for combination rigid one-piece GDOs must specify attachment points for installation (§1211.16(b)(2)13.).

UL added requirements for wireless control (§§1211.8(d) and 1211.10(f)), including additional tests for battery operation (§1211.10(g)) and wireless communication (§1211.10(h)).

UL added requirements for alternate sources of light for the photoelectric sensor ambient light test (§ 1211.11(e)(2)). The current test method specifies a specific DXC-RFL-2 flood lamp, which is becoming difficult to obtain in the marketplace. Instead the requirement will specify the minimum required wattage (500W) and maximum color temperature (3600K) of the bulb to allow for available light sources without affecting the test results.

UL added a new test method for GDOs that use an array of “vertical” photoelectric sensors as a non-contact external entrapment protection device (§1211.11 (d)(4) and new subparagraph (f)). The new method verifies that the “vertical” sensors function properly.

UL made several clarifications throughout the standard to improve clarity and describe test conditions better, including:

- that electronic instructions (§ 1211.16(a)(10)) may be provided on alternate sources, such as CD-Rom, USB flashdrive or company website.
- that for GDOs for one-piece doors that have an unattended operation function, certain markings are not required if the GDO automatically senses door operation (§§ 1211.16(b)(1(ii), 1211.17(h), and 1211.18(m)),
- clarifying the requirements for UL markings for voltage, frequency, and input (§ 1211.18(b)(3) and (4)).
- that UL marking requirements for risk of entrapment on GDOs that have user adjustments (§ 1211.18(i)) shall be located where visible to the user when making adjustments.
- clarifying the external entrapment protection device (*i.e.*, photoelectric sensor and edge sensor) test criteria (§ 1211.10(b), (c), (e), and § 1211.11(e)(4)) making the requirements consistent throughout the standard for determining whether the system is operating normally before and after each test.
- clarifying the requirements for the switch or relay used in the entrapment protection circuit (§ 1211.6(f)) by stating that the switch or relay must be capable of operating at a minimum cycling of 100,000 cycles as intended in the GDO

without failing, *and* that when/if failure does occur in actual use (at any cycle count), it shall result in preventing further operation of the door.

Finally, UL made several editorial changes throughout the standard to provide better descriptions of the appropriate requirements and test conditions, and revised dimensional tolerances on test fixtures so the fixtures can be manufactured using generally available machine tools.

C. Small Business Considerations

CPSC staff investigated the potential effects of the draft amendment on small entities, including small manufacturers, importers, and private labelers (TAB D). Staff has identified 19 firms that market GDOs in the United States. Five of these are either large firms or subsidiaries of large foreign or domestic companies. The 14 remaining companies appear to be small firms under U.S. Small Business Administration (“SBA”) size standards (13 C.F.R. part 121).

Staff estimates, based on industry sales data, that about 5 million to 7 million GDOs are installed annually. Based on a review of company information and contacts with industry representatives, all known manufacturers and importers market only products that conform to UL 325. All of these firms reportedly conform to the UL 325 Sixth edition requirements that became effective in January 2015. These firms, including the small firms, have already incurred the design and testing costs associated with the minor changes in the UL 325 test procedures since 2007. Therefore, the draft amendment to the Commission’s rule would not impose any new costs on small producers or importers. Because the existing level of conformance is virtually 100 percent, and no new compliance costs or other burdens would be associated with the amendment, the Commission could certify under the Regulatory Flexibility Act that the proposal would not likely have a significant impact on a substantial number of small businesses or other small entities.

D. Effective Date

The UL 325 Sixth edition requirements for residential GDOs became effective on December 23, 2014. Based on reports from industry representatives, all known manufacturers and importers already conform to these provisions. Therefore, staff recommends that the effective date of the Commission’s draft rule be 30 days from the date of publication of the rule in the *Federal Register*. This effective date would not adversely affect the cost or availability of conforming GDOs.

IV. Recommendations

CPSC staff recommends that the Commission issue a notice of proposed rulemaking (“NPR”) to amend the Commission’s rule for automatic residential GDOs, 16 C.F.R. part 1211, to reflect all changes UL has made to the entrapment protection requirements of UL 325, *Standard for Safety for Door, Drapery, Gate, Louver, and Window Operators and Systems*, since the last update of the rule in 2007. Staff recommends that the draft rule become effective 30 days after publication of the rule in the *Federal Register*.

TAB A

SEC. 203. AUTOMATIC GARAGE DOOR OPENERS.

15 USC 2056
note.

(a) CONSUMER PRODUCT SAFETY RULE.—The provisions of subsection (b) shall be considered to be a consumer product safety rule issued by the Consumer Product Safety Commission under section 9 of the Consumer Product Safety Act.

(b) REQUIREMENTS.—

(1) Effective on and after January 1, 1991, each automatic residential garage door opener manufactured on or after that date for sale in the United States shall conform to the entrapment protection requirements of the American National Standards Institute Underwriters Laboratories, Inc. Standards for Safety—UL 325, third edition, as revised May 4, 1988.

(2)(A) Effective on and after January 1, 1993, all residential automatic garage door openers manufactured on and after such date for sale in the United States shall conform to any additional entrapment protection requirements of the American National Standards Institute Underwriters Laboratories, Inc. Standards for Safety—UL 325, third edition, which were issued after the date of the enactment of this Act to become effective on or before January 1, 1993.

(B) If, by June 1, 1992, the Underwriters Laboratories, Inc., has not issued a revision to the May 4, 1988, Standards for Safety—UL 325, third edition, to require an entrapment protection feature or device in addition to that required by the May 4, 1988, Standard, the Consumer Product Safety Commission shall begin a rulemaking proceeding, to be completed no later than October 31, 1992, to require an additional such feature or device on all automatic residential garage door openers manufactured on or after January 1, 1993, for sale in the United States. If such a revision is issued by the Underwriters Laboratories, Inc. after the rulemaking has commenced, the rulemaking shall be terminated and the revision shall be incorporated in the consumer product safety rule under subsection (a) unless the Commission has determined under subsection (c) that such revision does not carry out the purposes of subsection (b).

Regulations.

(c) REVISION OF RULE.—If, after June 1, 1992, or the date of a revision described in subsection (b)(2)(B) if later, the Underwriters Laboratories, Inc. proposes to further revise the entrapment protection requirements of the American National Standards Institute Underwriters Laboratories, Inc. Standards for Safety—UL 325, third edition, the Laboratories shall notify the Consumer Product Safety Commission of the proposed revision and the proposed revision shall be incorporated in the consumer product safety rule under subsection (a) unless, within 30 days of such notice, the Commission notifies the Laboratories that the Commission has determined that such revision does not carry out the purposes of subsection (b).

(d) LABELING.—On and after January 1, 1991, a manufacturer selling or offering for sale in the United States an automatic residential garage door opener manufactured on or after January 1, 1991, shall clearly identify on any container of the system and on the system the month or week and year the system was manufactured and its conformance with the requirements of subsection (b). The display of the UL logo or listing mark, and compliance with the date marking requirements of UL 325, on both the container and the system, shall satisfy the requirements of this subsection.

Manufacturing.

(e) NOTIFICATION.—Effective on and after July 1, 1991, all manufacturers of automatic residential garage door openers shall, in consultation with the Consumer Product Safety Commission, notify the public of the potential for entrapment by garage doors equipped with automatic garage door openers and advise the public to test their openers for the entrapment protection feature or device required by subsection (b).

(f) PREEMPTION.—In applying section 26(a) of the Consumer Product Safety Act (15 U.S.C. 2075) with respect to the consumer product safety rule of the Consumer Product Safety Commission under subsection (a), only those provisions of laws of States or political subdivisions which relate to the labeling of automatic residential garage door openers and those provisions which do not provide at least the equivalent degree of protection from the risk of injury associated with automatic residential garage door openers as the consumer product safety rule provides shall be subject to such section.

(g) REGULATIONS.—Section 553 of title 5, United States Code, shall apply with respect to the issuance of any regulations by the Consumer Product Safety Commission to implement the requirements of this section and sections 7 and 9 of the Consumer Product Safety Act do not apply to such issuance. Any additional or revised requirement issued by the Commission shall provide an adequate degree of protection to the public.

(h) CONSTRUCTION.—Nothing in this section shall affect or modify in any way the obligations or liabilities of any person under the common law or any Federal or State law.

15 USC 2054
note.

SEC. 204. STUDY OF AVERSIVE AGENTS.

The Consumer Product Safety Commission shall conduct a study of requiring manufacturers of consumer products to include aversive agents, as appropriate, in products which present a hazard if ingested to determine the potential effectiveness of the aversive agents in deterring ingestion. In conducting the study, the Commission shall consult with appropriate consumer, health, and business organizations and appropriate government agencies. The Commission shall report to Congress the status of the study within one year of the date of the enactment of this Act and shall complete the study not later than 2 years after such date of enactment.

Reports.

Approved November 16, 1990.

LEGISLATIVE HISTORY—S. 605 (H.R. 4952):

HOUSE REPORTS: No. 101-567 accompanying H.R. 4952 (Comm. on Energy and Commerce) and No. 101-914 (Comm. of Conference).

SENATE REPORTS: No. 101-37 (Comm. on Commerce, Science, and Transportation).

CONGRESSIONAL RECORD:

Vol. 135 (1989): Aug. 3, considered and passed Senate.

Vol. 136 (1990): July 16, H.R. 4952 considered and passed House; S. 605, amended, passed in lieu.

Oct. 22, Senate agreed to conference report.

Oct. 25, House agreed to conference report.

WEEKLY COMPILATION OF PRESIDENTIAL DOCUMENTS, Vol. 26 (1990):
Nov. 16, Presidential statement.

TAB B

tel: 1 847 272 8800
fax: 1 847 272 8129
Customer service: 1 877 854

November 1, 2013

U.S. Consumer Product Safety Commission
Mr. Todd Stevenson
Office of the Secretary
4330 East-West Highway
Bethesda, MD 20814

Subject: UL 325 - Published Revisions

Dear Mr. Stevenson,

In accordance with Public Law 101-608, Underwriters Laboratories Inc. hereby notifies the CPSC regarding published new sixth edition of the Standard for Door, Drapery, Gate, Louver, and Window Operators and Systems, UL 325.

On November 16, 2012, UL proposed revisions to the residential garage door operator portion of UL 325. Ballots and comments to these proposed revisions were due January 30, 2013. During the course of UL's consensus (STP) process, no changes were made to the proposal, and a new edition was published October 14, 2013.

Attached is a copy of the revised pages, related to residential garage door operators, as published in the Standard. If you have any questions, please feel free to contact me.

Yours truly,

Reviewed by:

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Amy Walker, UL Standards

-3-

THIS DOCUMENT HAS NOT BEEN REVIEWED
OR ACCEPTED BY THE COMMISSION.

CLEARED FOR PUBLIC RELEASE
UNDER CPSA 6(b)(1)

TAB C

June 4, 2015

U.S. Consumer Product Safety Commission
Mr. Todd Stevenson
Office of the Secretary
4330 East-West Highway
Bethesda, MD 20814

Subject: UL 325 - Published Revisions

Dear Mr. Stevenson,

In accordance with Public Law 101-608, Underwriters Laboratories Inc. hereby notifies the CPSC regarding published revisions to the sixth edition of the Standard for Door, Drapery, Gate, Louver, and Window Operators and Systems, UL 325.

On October 17, 2014, UL proposed revisions to the residential garage door operator portion of UL 325. Ballots and comments to these proposed revisions were due December 1, 2014. During the course of UL's consensus (STP) process, additional revisions to proposal were necessary. UL proposed these revisions to the STP on February 20, 2015. Ballots and comments to these proposed revisions were due March 20, 2015. No additional changes were made to the proposal, and revisions were published May 26, 2015.

Attached is a copy of the revised pages, related to residential garage door operators, as published in the Standard. If you have any questions, please feel free to contact me.

Yours truly,

Reviewed by:

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cc: Subject 325
Vincent Amodeo, CPSC
Sarah Owen, UL Government Affairs
Joe Musso, UL Standards
Amy Walker, UL Standards

TAB D



UNITED STATES
CONSUMER PRODUCT SAFETY COMMISSION
4330 EAST WEST HIGHWAY
BETHESDA, MD 20814

Memorandum

Date: July 1, 2015

TO : Vince Amodeo, Project Manager, Directorate for Engineering Sciences

THROUGH: Gregory B. Rodgers, Associate Executive Director, Directorate for Economic Analysis
Deborah V. Aiken, Senior Staff Coordinator, Directorate for Economic Analysis

FROM : Dale R. Ray, Directorate for Economic Analysis

SUBJECT : Draft Amendment to CPSC Rule on Residential Garage Door Operators
(16 C.F.R. Part 1211): Small Business Considerations

This memorandum addresses small business considerations related to a draft amendment to the CPSC's rule, *Safety Standard for Automatic Residential Garage Door Operators* ("GDOs") (16 C.F.R. part 1211). The draft amendment would update the rule to include changes that have been incorporated since 2007 into the mandated voluntary standard, UL 325, *Standard for Door, Drapery, Gate, Louver, and Window Operators and Systems*.¹ All known GDO manufacturers and importers appear to be marketing only products that conform to the 6th (2013) edition UL 325 requirements currently in effect.

Background

In 1990, Congress directed the Commission (§203 of Pub. L. No. 101-608) to issue the GDO rule to protect consumers from the risk of injury associated with residential garage door entrapment. The CPSC's original 1992 rule contained performance and labeling requirements consistent with the existing 3d (1988) edition of UL 325, as well as certification requirements. The rule applied to all GDOs manufactured or imported after January 1, 1993. Congress also directed the Commission to update the rule to reflect changes to the UL standard; accordingly, the CPSC amended the rule in 1997, 2000, and 2007.

Between 2007 and 2014, UL made more than 50, mostly minor, changes to various test methods, performance metrics, and labeling provisions of UL 325 that related to GDOs. These changes were designed to improve door system safety, account for new technologies and door configurations, enhance the effectiveness of product labeling, and clarify existing provisions. The changes were incorporated into the 6th edition of the UL standard, published in 2013; the 6th edition provisions relating to residential GDOs became effective in January 2015. The draft amendment also includes minor clarifications embodied in a May 2015 First Revision of UL 325.

¹ The UL mark and logo are trademarks of Underwriters Laboratories, Inc.

The most significant elements of the UL revisions that would be incorporated into the draft amendment include the following:

1. revised methods and more stringent pass/fail criteria for the door entrapment tests;
2. new test methods and criteria for horizontal-opening doors; and
3. new instructional labeling for field application to the installed automatic door system.

All known manufacturers and importers reportedly already conform to these new requirements.

Market & Industry Information

Market Data

UL 325 applies to numerous kinds of electric (less than 600 volts) motor-driven doors, gates, windows, and other access control products and systems for vehicles and pedestrians. Among vehicular door and gate operators, four different classes of products and systems are covered, four of which are either nonresidential or for locations not intended to service the general public. The Commission's rule incorporates requirements for primary and secondary anti-entrapment devices related only to GDOs that are described in the UL 325 category of "Class I" residential vehicular gate operators or systems designed for residential structures of one to four dwelling units. The photos below depict some of the different types of GDOs available. These units differ by:

1. application — overhead and side-mount models for overhead doors, swinging carriage doors, and horizontal sliding barn-style doors; and
2. drive system — chain, track, belt, jackshaft, or screw drives, and some newer systems in which the operator motor itself travels on a track (rather than a motor that actuates a chain or other moving drive system).



Overhead, chain-drive operator



Side-mount, jackshaft operator



Overhead, traveling-motor operator



Articulating arm carriage door operator

Limited information is available about the consumer market for GDOs. A June 2014 publication of the principal industry trade group, the Door and Access Systems Manufacturers Association ("DASMA"), estimated annual sales of residential garage *doors* at roughly 2.5 million units; the average installed sale by dealers (presumably including the cost of any GDOs) was reportedly about \$1,500.

GDOs are more often sold as replacements for old units on existing doors than as components of new door installations; a significant but unknown portion of these are sold directly to consumers for do-it-yourself installation. The total number of GDOs sold annually may be about 2 million professionally installed units + about 3 million to 5 million consumer-installed units = 5 million to 7 million total units. GDOs may range in retail price, from under \$100 to more than \$1,000, depending on the type and features; many are sold with accessories, such as wireless security components or other remote control devices. If the average price of professionally and consumer-installed GDOs was about \$250, and 5 million to 7 million units may be sold per year, then total GDO retail sales may amount to \$250 X 5 million to 7 million = \$1.25 billion to \$1.75 billion.

GDOs may be produced domestically or imported. Imports appear to be chiefly from Canada, Mexico, Germany, or the People's Republic of China. Unfortunately, the available production and foreign trade statistics do not provide sufficient detail to identify the value of GDO shipments. The value of shipments for domestic products is included in a large, multi-billion dollar category of manufactured items in the U.S. Department of Commerce's North American Industry Classification System ("NAICS") code 335999, "other miscellaneous electrical equipment and components." The value of imports is included in the International Trade Commission's Harmonized Tariff System of the United States ("HTS") code 8302.60.3000, "automatic door closers"; this HTS code also covers a variety of products not subject to 16 C.F.R. part 1211. Based on the retail market discussion above, the wholesale value of annual shipments of GDOs by manufacturers and importers may be in the range of several hundred million dollars.

Industry & Small Business Overview

CPSC staff has identified 19 manufacturers and importers, including private labelers, of GDOs. These firms often market other, related products (including items subject to UL 325, but not the CPSC rule). Eleven of the leading producers and importers (along with 20 manufacturers and suppliers of accessories, commercial and industrial door and gate operators and components) are members of DASMA. Seven of the 11 DASMA producer/importer members participate in the ANSI/UL Standards Technical Panel for UL 325. DASMA claims that its members, including the leading, dominant manufacturer, account for 95 percent of the U.S. market for garage doors and installations. Some GDO companies may also be members of the American Association of Automatic Door Manufacturers ("AAADM"), a group primarily representing firms marketing pedestrian door operators.

The U.S. Small Business Administration's ("SBA") size standards identify "small" businesses based on the number of employees or annual receipts. The standards vary by business sector, as described in NAICS. Two categories of firms subject to the draft amendment would be considered "small" under the SBA guidelines:

- Domestic manufacturers of "other miscellaneous electrical equipment" (NAICS code 335999) with fewer than 500 employees; and
- Merchant wholesalers (including importers) of "durable goods" (NAICS Subsector 423) with fewer than 100 employees.

Information from company websites and from Dun & Bradstreet business reports indicate that, of the 19 identified firms manufacturing or importing GDOs, five are either large companies or subsidiaries of large domestic or foreign companies (subsidiaries of large firms are considered to be large, regardless of the number of employees at the subsidiary). The remaining 14 appear to be small firms under the SBA size standards for their industry sectors.

Small Business Impact

CPSC staff considered the following information about potential impacts on small manufacturers and importers:

- Producers, importers, and retailers that market only UL 325-conforming products would not be affected by the draft amendment. Representatives of companies and DASMA have stated to CPSC Engineering staff that they know of no firms whose GDOs do not conform with the latest UL 325 revisions.
- The agency's compliance history supports an estimate of widespread conformance: over the past 10 years, there has been only one regulatory violation (2006), and one corrective action (2013) under Section 15; this corrective action was not entrapment-related.
- Firms have already incurred design and testing costs associated with the minor changes in the UL 325 test procedures since 2007. Manufacturers routinely perform the UL 325 tests in developing their products. Some of the cost of testing is incurred in listing fees paid either to UL, which conducts verification tests for listed products, or to Intertek Testing Services, which also provides UL 325 certifications to some companies as a Nationally Recognized Testing Laboratory ("NRTL") under the Occupational Safety & Health Administration's ("OSHA") laboratory recognition program. The draft amendment would not impose any new testing costs on small producers or importers.
- It appears that virtually 100 percent of GDOs currently conform to UL 325 (including the most recent Sixth edition provisions) and comply with the Commission's GDO rule. This includes the certification provision of the rule, under which a listing denoting UL conformance is considered sufficient evidence of certification. Thus, it is likely that no firms, including small firms, would experience any increased costs or other impacts because the firms already comply.

Because there is virtually 100 percent conformance to UL 325, small firms should not experience any increases in compliance costs or other burdens associated with the rule. Thus, the Commission could certify that the draft amendment to 16 C.F.R. part 1211 to reflect the First Revision of UL 325 Sixth edition would not likely have a significant impact on a substantial number of small businesses or other small entities.